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ABSTRACT

This 3-year study attempted to identify school and district management practices that produce exemplary urban high schools. Information was gathered from 40 high schools with the following characteristics: (1) offering a comprehensive curriculum with no examination requirements; (2) located in one of the 166 largest and densest central cities; and (3) serving at least 30 percent disadvantaged students and at least 30 percent racial or ethnic minorities. Despite an extensive screening effort, only four of the 40 schools studied were found to have scholastic achievement and attendance rates that qualified them as "exemplary." Nevertheless, a variety of instructional management, organizational management, and district-school co-management practices were identified in the remaining four schools that were were believed to produce exemplary outcomes that could be associated with school effectiveness theory, excellence theory, and collaborative efforts by districts and schools. The study concludes that all three approaches were relevant and complementary in developing a framework for improving practices in urban high schools. Recommendations for further research are suggested. Twenty-seven tables of statistical data and ten vignettes are included. A list of 143 references, field guides for conducting intensive, focused, and interview site visits, and an analysis of practices at four intensive sites are appended. (FMW)

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Managing for Excellence in Urban High Schools: District and School Roles

Robert K. Yin
J. Lynne White

September 1986

Final Report Prepared for U.S. Dept. of Education, Office of Educational Research and Improvement, under Contract No. NIE-400-83-0060

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PREFACE

This document is the final report of a project that started in October 1983. The initial interest in the topic stemmed from concerns of the National Institute of Education (an agency since integrated into the U.S. Department of Education's Office of Educational Research and Improvement) and in particular of three staff persons: Virginia Koehler, Michael Cohen, and Edward Fuentes. From their vantage point, numerous research questions regarding the management of urban secondary schools remained unresolved, at a time when the problems of these schools were reaching national attention. The purpose of our study was therefore to explore ways of improving these schools through managerial initiatives.

Much of the actual design of the study was left to the research team, which produced a design document during the first three months of the study. Data collection began in the spring of 1984 and continued through the fall of 1985, covering three types of sites: sites where the field teams spent several person-weeks in the field over a two-semester period and collected a variety of interview, observational, and documentary evidence (intensive sites); sites where the teams collected this diversity of evidence but spent only a few days in the field (focused sites); and sites where the teams only spent one or two days and were limited to interviews only (interview sites).

Altogether, data were collected from 40 secondary schools and their district offices. In addition, comparison observations and interviews were made in another 8 "paired" schools. The study is therefore based on a wealth of information from numerous schools across the country, and the research team owes a major debt to the many principals, teachers, and district officials who participated in the data collection and made both time and information available.

In developing the initial research design, and at critical points throughout the study, the research team benefited from the advice and suggestions of an external advisory panel. Among other contributions, the panel helped to target the study at the urban secondary school that has posed the greatest challenge to educators--schools with: a) significant proportions of minority and low-income students; b) a comprehensive curriculum; and c) no exam or entrance requirements. Thus, the study is not concerned with magnet schools, exam schools, or other specialized schools; rather, the findings pertain to the type of secondary school that has been the mainstay in America's cities and that is designed to serve all students.

The authors would like to gratefully acknowledge the contributions of the panelists and to thank them for patiently following the progress of the study. Members of the panel were (the affiliations are listed as of the time of the study):

David Berliner, Professor, The University of Arizona
Myrna Cooper, Director, NYC Teacher Centers Consortium
John Fareira, Principal, Thomas A. Edison High School, Philadelphia, Pa.
Eleanor Farrar, Senior Research Associate, The Huron Institute, Cambridge, Mass.
Arthur Jefferson, Superintendent, Detroit Public Schools Center
Floretta McKenzie, Superintendent, District of Columbia Public Schools
Nathan Quinones, Acting Chancellor, New York City Board of Education
William Spady and Brian Rowan, Far West Laboratory for Educational Research and Development, San Francisco, Calif.

The authors also benefited from the advice of two outside reviewers during the early stages of the project, to whom thanks also are extended:

Terry Deal, Vanderbilt University
Santee Ruffin, National Association of Secondary School Principals, Reston, Va.

The project had several project officers at NIE, each of whom was extremely supportive and collegial, permitting us to follow the leads suggested by the research in progress rather than being limited by a pre-cast agenda. These project officers were: Michael Cohen, Virginia Koehler, Marianne Amarel, John Taylor, and Alexander Cuthbert. Others at NIE who made suggestions about the study included Joseph Vaughan and Gail MacColl. We realize that the project was conducted during years in which the educational policy community was in transition and are grateful to our project officers and the others at NIE for shielding us from the negative effects of this transitionary period.

Finally, we are indebted to other colleagues at COSMOS who contributed substantially to the project. These include Rolf K. Blank, who worked on the project from 1983-1984, Priscilla Hilliard (1984-1985), Sheila Rosenblum, and Nancy Brigham. All of these colleagues provided important ideas to the project and participated in the data collection. We also are grateful to Eleanor Farrar and Terry Clark for serving as reviewers of this final report. In addition, our colleague Judith Alamprese at COSMOS has served as deputy project director for the past two years and has kept the project on an even keel during this period. She and Nancy Brigham are the co-authors of the companion to this document:

Alamprese, Judith, and Nancy Brigham, Managing Together: Handbook of District and High School Practices Toward Excellence, COSMOS Corporation, Washington, D.C., September 1986.

The conduct of the project and the preparation of this final report were sponsored by the Office of Educational Research and Improvement (formerly the National Institute of Education) under Contract No. 400-83-0060. Any opinions, findings, conclusions, or recommendations expressed in this publication are those of the authors and do not necessarily reflect the views of the U.S. Department of Education.

EXECUTIVE SUMMARY

The present document is the final report of a three-year study of urban high schools. The study was guided by a singular concern: the identification of management practices that produce exemplary urban high schools. Such schools were defined as schools: 1) offering a comprehensive curriculum with no examination requirements; 2) located in the 166 largest and densest central cities in the U.S.; and 3) serving at least 30 percent disadvantaged or low-income students and at least 30 percent racial or ethnic minorities. The study dealt with both school and district initiatives that might be undertaken as management practices.

The empirical evidence for the study drew from 40 high schools across the country. Four of these schools were the subject of intensive fieldwork, occurring over a two-semester period; another four schools were the subject of focused site visits, for two to three days; the remaining thirty-two schools were the subject of one-day site-visits, during which interviews were held with key school staff. The rationale for this variety of levels of data collection--labeled as intensive, focused, and interview sites--was to balance the needs between a deep understanding and corroboration of practices at a few sites with a surface understanding of the prevalence of practices at a larger number of sites.

Despite an extensive screening effort, only four of these 40 schools were found to have outstanding outcomes in relation to other urban high schools--i.e., scoring in the top quartile among all urban high schools. The remaining 36 schools tended to have scholastic achievement and attendance rates that were more akin to the average of all schools across the nation--e.g., achievement test scores at grade level only. Thus, a major disappointment with the study was the inability to identify truly exemplary urban high schools, and to this extent the schools in the present study did not provide the best sites for testing the various practices assumed to be associated with exemplary performance.

Nevertheless, the study did identify a variety of practices believed to produce exemplary outcomes. These are listed below:

SUMMARY OF PRACTICES
FOR MANAGING EXEMPLARY URBAN HIGH SCHOOLS
(Themes and Practices)

Realm	School Effectiveness Theory	School Effectiveness Excellence Theory	District-School Co-Management
PRINCIPAL AND SCHOOL ADMINISTRATORS	The principal as instructional leader	Intensive and personal communication by the principal Principal acting as advocate for the school Procedures for streamlining routine administration of school	Rotation of assistant principals to create school teams
SCHOOL	Safe, orderly climate System for monitoring and assessing school performance Pronouncement of clear academic goals	Hiring and assigning staff to meet existing school goals Mixed centralized and decentralized decision-making	School building designed to be distinctive District and prinicipal share staff recruitment and selection District slogans for student behavior and performance
TEACHERS AND STUDENTS	Sense of teacher efficacy over the conduct of the school Rewards and incentives for individual teachers and students	Steps to protect teaching time and professional autonomy Frequent monitoring of staff and provision of inservice Sustaining of frequent and informal staff communications	Observations of teaching practices Awards to individual teachers and students Attention to ninth graders
COMMUNITY	Development of community support for the school		
CLASSROOM AND CURRICULUM	Concentration on academic learning time Use of variety of teaching strategies	Promotion of innovations and variation in the curriculum	Competitive program for supplemental curriculum projects

An important feature of these practices was that they drew from three separate themes: instructional management (reflected by school effectiveness theory), organizational management (reflected by excellence theory as translated from private businesses to urban high schools), and district-school co-management (reflected by a collaborative effort by districts and schools, and not simply district mandates or school autonomy). In examining these three themes, the present study also provided empirical evidence on three topics that have not

previously been covered well by the educational literature: school effectiveness theory as applied to high schools and not just elementary schools; excellence theory as applied to schools and not just business firms; and district-school co-management of school operations.

A summary conclusion from the study was that all three topics are relevant and complementary in developing any policy-relevant framework for improving practices in urban high schools. School effectiveness theory serves as an adequate starting point, but does not address the complications arising from the high school as a complex organization with multiple goals--e.g., students who will excel academically and continue to college as well as students who will cope and deal with jobs and family. Thus, excellence theory is needed to provide a richer managerial perspective as well as to accommodate a diversity of outcomes. However, neither effectiveness nor excellence theory covers the conditions imposed by the overhead agency--i.e., the school district--and therefore district-school co-management is needed to deal with the high school as an entity under the control of both school and district policies.

As an overall caveat, the study encountered serious difficulties in identifying schools with exemplary outcomes, as well as in the data collection procedures with the interview sites. Thus, to this extent the study may be considered of an exploratory rather than definitive nature. As a result, the study concludes with recommendations for four types of further research that would help to corroborate and extend the present findings:

- comparisons of urban with other (e.g., suburban) types of high schools;
- determination of causal and not merely correlative conditions in linking practices to outcomes;
- comparisons of exemplary with turnaround schools; and
- further elaboration of district-school co-management of schools.

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I. INTRODUCTION

A. A Policy Study

Problems of the Public High School

National attention toward the problems of our public schools recently reached a crescendo with the issuance of the report of the National Commission on Excellence in Education's report on A Nation at Risk.[1] The work of the commission, as well as that of other study commissions and investigations, seemed to coincide with the continued decline in student test scores across the country and the apparent impotence of the public school system.[2]

For the high school, the result has been a wide variety of findings, recommendations, and agendas for reform.[3] In fact, the call for high school reform has become a renewed theme. For instance, the Carnegie Foundation for the Advancement of Teaching carried out 15 case studies of high schools and put forth an extensive agenda for reform--the "Boyer" report--in which changes were recommended in the incentives for teachers, the role of students and community service (a new "Carnegie" unit was proposed), and the role of principals and school administrators.[4] Similarly, other panel reports, empirical studies, and syntheses of available research pointed to the conditions desired in our high schools--attention that for the first time recognized the problems of American high schools in contrast to those of the elementary school.[5]

In spite of this wealth of information and the numerous recommendations regarding the desirable conditions to be found in high schools, specific guidance regarding the initiatives that might be taken by schools or school districts has not necessarily been couched in realistic terms. Many of the recommendations, for instance, describe the more desirable high school but do not indicate how such conditions are to be created; other recommendations, such as those offered under the Paideia proposal,[6] have been insensitive to the problem of whether new legislation, unrealistic school budgets, or a

totally revamped teaching profession are needed--leaving the agendas for reform rather insensitive to the constraints of current public school systems.

Objective of the Present Study

In contrast, the current study was designed to produce information that might be used by school and district administrators in operating existing high schools. The information was to focus on ways of:

- Improving the performance of high schools in the largest U.S. cities, through management initiatives.

In other words, the question posed by our study was whether management practices could be identified that might, in the immediate future, be used to help those high schools in greatest need of help--i.e., those located in the largest central cities in the country. Of particular interest were the regular administrative functions that might affect school performance (as opposed to the creation of "special" and potentially costly new programs).

To pursue this objective, the study collected information about existing practices in exemplary urban high schools. Such exemplary schools were defined as those already producing sustained, high levels of achievement and other school outcomes, compared to all urban high schools. Where consistent practices could be identified in the exemplary schools, the transfer of such practices to other urban schools became the basis for recommendations on how to improve the other schools. In addition, the understanding of how these practices might work was deliberately broadened to include questions about the role of the school district, and not just school officials, in successfully managing the school.

At the same time, the study objective was deliberately narrow in at least three ways. First, the objective focused on managerial initiatives--e.g., those actions that could be undertaken by district or school administrators--rather than shifts in student enrollment or

the educational practices of teachers that could equally affect school outcomes.[7] In spite of the potential importance of these other conditions in influencing overall school performance, many of them are beyond the control of district and school administrators. Such administrators have little to say, for instance, over the neighborhood changes that might affect student populations, or the university training curricula that prepare teachers and affect teaching practices. Instead, the study sought to be policy relevant by focusing directly on those organizational and managerial actions and practices that are readily manipulable by district and school administrators in today's school systems.

Second, the study objective was only pursued in relation to the results from an original empirical inquiry--and not any pre-cast political, educational, or ideological agenda. Data were collected from 40 target high schools schools and eight more comparison schools, in addition to the districts within which these schools were found. This extensive data collection, taking place over a three-year period, limited the range of the study's inquiry in a manner different from that of a study commission or report by an expert panel of educators; such reports are often constrained only by the imaginations of the commission or panel members--but as a result frequently fall short of providing useful advice.

Third, the study focused on urban public high schools, defined as those schools with substantial minority and low-income student populations in the largest U.S. cities, providing a comprehensive curriculum, and not having exam requirements. This group of high schools was considered the mainstay of the U.S. public school system and the type of school in greatest need for review and possible improvement. Excluded from our study were therefore schools in the suburbs or rural areas, magnet schools, exam schools, and other special types of secondary schools that might serve urban populations.

B. Desired Characteristics of a Conceptual Framework for Identifying Management Practices

Existing research provided three clues regarding the desired characteristics of any conceptual framework needed to develop a management-oriented approach for improving urban high schools, although, as the findings will later show, such guidance fell short of the full reality of contemporary school management.

Complex Organizational Concepts

First, the needed framework would have to assume that the topic was a complex organization--i.e., one having the following characteristics:

- A multi-tiered hierarchy, with three or more layers and a team of administrators at the top;
- Large staff size;
- A departmental infrastructure that can produce cross-cutting lines of authority;
- Differences among academic specialties as well as between academic specialties and other, nonacademic but essential student programs; and
- The existence and role of student groups and not merely of individual students.

All of these conditions were contrasted with the simpler organizational structure of the elementary school--i.e., a teaching staff headed by a principal and having a rather singular curriculum. Part of the problem with the existing literature has been that much of the organizational research has been dominated by work done in elementary schools,[8] and for this reason our study needed to be sensitive to the need for a different framework.

For example, earlier research by Brookover[9] and Firestone and

Herriott[10] provide direct evidence of the organizational differences between elementary and secondary schools, and the implications for studying them as organizations. Among other contrasts, these investigators have found that elementary schools are more likely to follow a rational, bureaucratic model, whereas secondary schools exhibit the characteristics of "loose coupling."[11] Moreover, there may be little distinction between instructional and organizational goals at the elementary level, because the relevant school outcomes are virtually limited to concerns over cognitive skills and the furtherance of a student's education. Completely neglected are such other outcomes as the ability to obtain a job or to cope in an adult society, which are important at the secondary school level. These examples therefore illustrate the qualitative differences that may exist between simple and more complex organizations, imparting on our study the need to develop a framework explicitly dealing with complex organizations.

Distinction between Instructional and Organizational Processes

Second, the framework needed to be organizational in nature and was not to be confused with an instructional framework. Thus, learning and instructing, as processes, dominantly occur within a classroom, even though the major components of these processes--i.e., curriculum materials, teachers, and students--can be influenced by conditions external to the classroom. The processes are largely psychological and interpersonal, and the relevant concepts draw from theories of learning and of teaching--e.g., the works of Jean Piaget, B.F. Skinner, and John Dewey.

In contrast, organizing as a process may occur at two levels: the organizing of activities within the classroom, and the organizing of activities outside of the classroom. The first level interacts directly with teaching and instructional processes, but the second may have little to do with these processes. Moreover, the second level may be dominated by organizational rather than interpersonal factors, and draw from a different theoretical base--e.g., the works of James March, Chester Bernard, and Karl Weick.

Although the instructional processes are possibly the key ingredient in making schooling work, the organizational processes can affect the ways in which instruction can take place, and these are the processes under the control of school and district administrators. Ultimately, the most complete framework would link both instructional and organizational processes,[12] but for the present study, the main goal was to develop an organizational framework.

Theory Testing and Development

Third, the framework needed to be guided, as much as possible, by potentially relevant theories for managing high schools. The development and testing of such theories is the only way of cumulating knowledge and, in the long run, of increasing the effectiveness of management practices.

Such theories should be specified in as causal terms as possible. For instance, one pair of investigators notes the following shortcomings of prevailing school effectiveness theory:[13]

> ...one of the most accepted propositions about school effectiveness is that principals make a significant difference. While the logic of this assertion is clear, the different things principals actually do to make schools effective have not usually been pinpointed by researchers.

A related problem occurs when studies do examine causal relationships but mainly deal with the "typical" school rather than the exemplary school, a situation that occurs in the design of the Boyer report. Under such circumstances, the observation of some apparently desirable practice, in the absence of known positive outcomes, would seem not to provide sufficient information for making any policy recommendations.

In short, the third characteristic of the appropriate conceptual framework is that it incorporate the testing and development of theories. The most desirable outcome would be the verification of a

theory, and hence the ability to generalize to many different school situations. However, even where a less desirable outcome is found--e.g., where existing theories are shown to have shortcomings--the lessons learned can provide helpful direction for sharpening the understanding of a given practice or for identifying priorities for further research.

C. Using Two Existing Theories as a Starting Point

Given the policy objective of the present study and the desired characteristics of its conceptual framework, our study began with two existing theories.

School Effectiveness Theory

The first, developed in education, is school effectiveness theory. This theory, described more fully in Chapter IV of this report, appeared to satisfy the minimal criteria for our conceptual framework, and in fact has been the basis for policy recommendations and interventions at the elementary school level. The theory largely covers the instructional aspects of school operations, and the present study provided an invaluable opportunity to test the relevance of the theory at the secondary school level, where only minimal empirical data had been previously available on this theory. The theory is primarily concerned with the roles of the principal, teachers, students, and community; and with the pre-eminence of academic goals and activities in operating the school.

Excellence Theory

The second, developed in organizational management, is excellence theory. This theory is also described more fully elsewhere (Chapter V), and has direct relevance to complex organizations. In contrast to school effectiveness theory, excellence theory largely covers the managerial aspects of school operations, and the present study provided a similarly invaluable opportunity to examine the theory's tenets in school settings--again, a topic for which previous empirical investigations had only been minimal. The theory is primarily concerned with leadership, bureaucratic structure and practices, and the orienting of an organization toward its clients and its employees.

Theory Testing

Our research design attempted to "test" both theories by comparing

the propositions from each theory with data collected from a variety of sites. Where empirical findings corroborated the conditions stipulated by the theories, support for the theories was assumed, and the identified practices became the basis for recommended improvements in other schools.

How the propositions from these theories were developed are the subject of extensive discussion in later chapters of this report, which also include the findings and indicate the gaps left by both theories. Such gaps led to a more detailed elaboration of district initiatives, which became the topic of an entirely separate chapter (Chapter VI).

The following two chapters first describe the methodology, site selection, and site characteristics of the 40 schools (and their districts) in our study.

NOTES TO CHAPTER I

[1]National Commission on Excellence in Education, A Nation at Risk: The Imperative for Educational Reform, Washington, D.C., April 1983.

[2]In retrospect, the test scores appear to have bottomed out during this period of time--or even slightly earlier--but this has not stopped educators and the public from asking why conditions in the public school system cannot be improved. See Daniel Koretz, Trends in Educational Achievement, Congressional Budget Office, Washington, D.C., April 1986.

[3]For examples, see Mortimer J. Adler, The Paideia Proposal: An Educational Manifesto, Macmillan Publishing Co., Inc., New York, N.Y. 1982; Ernest Boyer, High School: A Report on Secondary Education in America, Harper and Row, New York, N.Y. 1983; Education Commission of the States, A Summary of Major Reports on Education, Denver, Colo., November 1983; John Goodlad, A Place Called School: Prospects for the Future, McGraw-Hill Book Co., New York, N.Y, 1983; J. Lynn Griesemer and Cornelius Butler, Education Under Study: An Analysis of Recent Major Reports on Education, Northeast Regional Exchange, Inc., Chelmsford, Mass., September 1983; National Commission on Excellence in Education, A Nation at Risk: The Imperative for Educational Reform, Washinton, D.C., April 1983; Theodore Sizer, Horace's Compromise: The Dilemma of the American School, Houghton Mifflin Company, New York, 1984; Task Force on Education for Economic Growth, Action for Excellence: A Comprehensive Plan to Improve Our Nation's Schools, Education Commission of the States, Denver, Colo., May 1983; and Twentieth Century Fund Task Force, Making the Grade, Twentieth Century Fund, New York, 1983.

[4]Boyer, op.cit.

[5]In addition to other examples cited above, see Michael Cohen, "Effective Schools: Accumulating Research Findings," American Education, January/February 1982, 18:13-16; Eleanor Farrar, Barbara Neufeld, and Mathew B. Miles, "Effective School Programs in High Schools: Implications for Policy, Practice, and Research", paper commissioned for the National Commission on Excellence in Education, Washington, D.C., April 1983; Herbert J. Klausmeier et al., Improvement of Secondary Education through Research: Five Longitudinal Case Studies, Wisconsin Center for Education Research, Madison, Wis., 1983; Fred Newmann and Steven Behar, The Study and Improvement of American High Schools: A Portrait of Work in Progress, Wisconsin Center for Education Research, Madison, Wis., October 1982; and Thomas R. Owens, "Final Report for the Council of Great City Schools: Secondary School Improvement Study," Northwest Regional Educational Laboratory, Portland, Oreg., September 1985.

[6]Adler, op. cit.

[7]See James Coleman, Thomas Hoffer, and Sally Kilgore, High School Achievement, Basic Books, Inc., New York, p. 206, for a path model illustrating how the background of students can influence student outcomes, independent of any school policies.

[8]For examples of investigations on school effectiveness based on elementary schools, see Ronald Edmonds and John R. Frederiksen, "Search for Effective Schools: The Identification and Analysis of City Schools That Are Instructionally Effective for Poor Children," Center for Urban Studies, Harvard University, Cambridge, Mass., 1979; Phi Delta Kappa, Why Do Some Urban Schools Succeed?: The Phi Delta Kappa Study of Exceptional Urban Elementary Schools, Phi Delta Kappa, Bloomington, Ind., 1980; George Madaus et al., School Effectiveness: A Reassessment of the Evidence, McGraw-Hill Book Co., New York, 1980; and Eugene Eubanks and Daniel Levine, "A First Look at Effective Schools Projects in New York City and Milwaukee," Phi Delta Kappan, June 1983, 64:697-702.

[9]Wilbur B. Brookover, Effective Secondary Schools, Research for Better Schools, Inc., Philadelphia, Pa., 1981.

[10]William Firestone and Robert Herriott, Effective Schools: Do Elementary Prescriptions Fit Secondary Schools?, Research for Better Schools, Inc., Philadelphia, Pa., June 1982.

[11]See Karl Weick, "Educational Organizations as Loosely Coupled Systems," Administrative Science Quarterly, 1976, 21:1-19.

[12]See K. Duckworth, Linking Educational Policy and Management with Student Achievement, Center for Educational Policy and Management, 1980.

[13]Kathleen Hoover-Dempsey and Susan J. Rosenholtz, "Effective Schools: A Second Generation Study," proposal submitted to National Institute of Education, Vanderbilt University, Nashville, Tenn., April 1983.

II. RESEARCH DESIGN AND DATA COLLECTION PROCEDURES

The research design for the study called for a specification of the data to be collected within a site as well as a rationale for selecting sites. These two considerations may be thought of as covering within-site and cross-site issues, and each is discussed in this chapter.[1]

A. Within-Site Design

The within-site design covered the outcomes of school performance (dependent variables) and the school operations hypothesized to lead to such performance (independent variables). In general, the dependent variables reflected the definition of an exemplary urban high school, and the independent variables reflected the characteristics of school operations contained in the two theories--school effectiveness theory and organizational excellence theory.

Defining School Outcomes (Dependent Variables)

The pertinent performance outcomes had to be specific to school organizations. In addition to the identification of outcome measures, the threshold or criterion level required for judging a school to be exemplary also was needed.

Outcome Categories. As a starting point, Rutter[2] had produced a comprehensive list of relevant school outcomes, based on an extensive review of the literature. He first discussed the need to distinguish school outcomes (or effects) from student outcomes (or effects). For example, in operating an effective school, a relevant outcome might be to boost the attendance rate of students or the participation rate of parents. These are examples of school (organizational) rather than student (individual) outcomes. Thus, in defining the appropriate measures of school exemplariness, an important goal was to identify these and other types of organizational outcomes, some of which can be aggregates of individual scores but others of which--e.g., a school's "reputation"--are not always the aggregate of individual scores.

Rutter enumerated seven categories of outcomes for high schools, and these were the subject of data collection efforts in the present study:

- Scholastic attainment;
- Classroom behavior;
- Absenteeism;
- Attitudes toward learning (e.g., learning to learn);
- Continuation in education;
- Employment; and
- Social functioning.

To the extent that the data collection could cover these categories, this definition of school performance also fulfilled the need for having multiple outcome measures.[3] For the present study, the outcomes used were ultimately limited to three variables: math and reading achievement, and attendance. However, the discussion in this chapter and Chapter III indicate how the research team originally tried to locate data for the other outcome categories.

Threshold Levels. As a second step, the threshold or criterion levels of performance had to be identified for each variable. The selection of such levels encompassed both conceptual as well as measurement problems.[4]

Conceptually, regardless of the outcome measure being used, one choice is to identify some absolute level that must be achieved in order to define a school as exemplary. An alternative choice, however, is to define the appropriate level in relative terms, similar to the way in which Peters and Waterman[5] based their judgments of firms--i.e., relative to other firms in the same industry. Such relative scores would mean that a school had displayed exemplary performance among the same schcols of its type, and this would be well suited to any study of urban high schools.

For instance, a tabulation of the performance scores for Boston's high schools on the Metropolitan Reading and Math Tests showed that, in 1982, only three schools achieved scores higher than the national median. However, all three schools--Boston Latin, Latin Academy, and Boston Tech--were schools with admissions requirements. Thus, if one needed to focus on schools without admissions requirements (as will be described under the cross-site section of this chapter), any reasonable but absolute criterion for performance would lead to the omission of all of Boston's high schools. However, if the selection was based on relative levels of performance, the best high school without an admissions requirement would still be of interest. This problem for Boston is mimicked by a similar problem across the country. For instance, for SAT scores, urban school districts tend to perform more poorly, in any absolute sense, than their suburban or rural counterparts (see Figure II-1). This type of observation further reinforced the choice that for a study of urban high schools:

- Criterion levels based on relative performance would be more appropriate than those based on absolute performance.

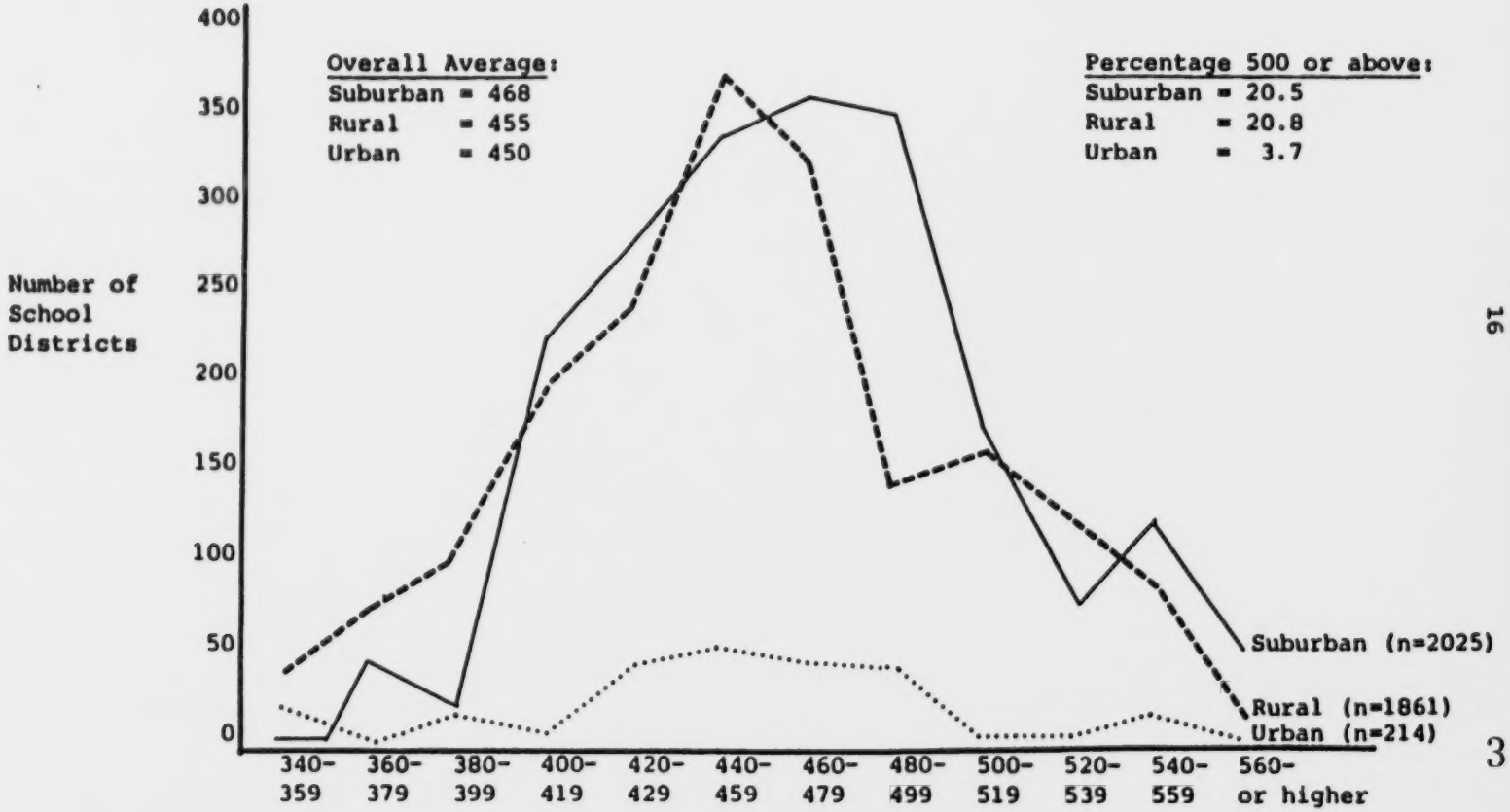
With regard to measurement, one further challenge was to avoid defining school outcomes that are in fact limited to specific classes or cohorts of students within the school, but not the school as a whole. From this standpoint, two analysts[6] have suggested that, at a minimum, an effective school should meet three criteria regarding both the intensity and extent of exemplary performance:

- High achievement for more than a single grade;
- Persistence of such achievement over time (e.g., at least two groups of students over two testing cycles); and
- Widespread achievement throughout the school as a whole, and not just in a few exemplary classrooms.

Figure II-1

DISTRICTS REPORTING SAT SCORES
FOR 1981-1982

(Nationwide)*



*Source: NCES

These criteria were therefore also incorporated into the definition of successful outcomes in the present study.

School Improvement vs. Sustained Exemplariness. Purposely excluded by this approach were those schools that might have been showing rapid change (or improvement) for the outcome measures, but that had not yet achieved the minimal levels of exemplary performance. In this sense, the study was oriented toward sustained high performance, and not necessarily school improvement or turnaround situations.[7] Such a distinction has not necessarily been rigorously followed in previous research or by national school recognition programs. Yet, the practices recommended in a turnaround situation may differ markedly from those producing exemplary levels of performance over a number of years. For instance, a major step in a turnaround situation might be to reduce school vandalism; however, for sustained high performance, such a practice would not necessarily be relevant.

Selection of Exemplary Schools. The final definition of the dependent variables thus involved three characteristics. First, the variables covered Rutter's major variables, with eight measures being incorporated into the study:

- Scholastic attainment: 1) achievement test performance;
- Classroom behavior: 2) suspensions/ expulsions;
- Absenteeism: 3) attendance;
- Attitudes toward learning: 4) dropout rate, and 5) retention rate;
- Continuation in education: 6) post-secondary placement;
- Employment: 7) vocational enrollment; and
- Social functioning: 8) minimum competency performance.

The matches between Rutter's variables and the actual data to be collected were not as close as optimally desired. However, the study was limited to the collection of available evidence, and these matches represented the closest possibilities. As the most obvious example, data on student employment following high school simply do not exist on a routine basis. Rather than leaving this variable uncovered, the data collection called for the use of "enrollment in vocational programs" as a potential indicator of likely student employment. In addition, data available on postsecondary placement are often based on student projections and estimates, not on actual follow-up of students' college enrollment. The result of these poor matches was ultimately to limit the definition of outcomes to three variables: math and reading achievement, and attendance.

Second, a criterion level was set for each of these eight measures, so that an urban high school was considered exemplary to the extent that these criterion levels were attained. In general, the criterion levels reflected the known relative distribution of urban high schools on the various measures, with the criterion levels established so that the exemplary high school scored in the upper quartile or decile of the entire pool. The criterion levels were as follows:

1. Achievement test performance: 50th percentile or above or grade level or above national norms, with the exact scores varying according to the type of test and the type of scoring used;

2. Suspensions/expulsions: 5 percent or below;

3. Attendance: 90 percent or higher;

4. Dropout rate: 10 percent or below;

5. Retention rate: of the students entering the 9th grade, 75 percent or more graduate;

6. Postsecondary placement: 60 percent of of students enter two-year colleges, four-year colleges, or vocational-technical schools;

7. Vocational enrollment: 40 percent enrollment or higher; and

8. Minimum competency performance: 90 percent or more students pass a minimum competency test each year.

Third, the data for each variable were collected for a three-year period, with the stipulation that the truly exemplary school would demonstrate sustained high performance--i.e., meeting the criterion levels set--for each of the three years.

Defining School Operations (Independent Variables)

The definition of the independent variables began with two lists: the fourteen attributes from school effectiveness theory and the eight themes from organizational excellence theory. (The rationale for selecting these two theories and the full enumeration of the lists are discussed in Chapters IV and V.) Each list was converted into a set of measures addressing two concerns: 1) the existence of the predicted practice, and 2) the determination of how the practice appeared, causally, to produce the desirable performance outcomes.

Illustrative Examples. The fourteen attributes from school effectiveness theory were readily incorporated into the data collection plan, because the attributes already were defined in terms of school operations. In the case of the eight organizational excellence themes, however, some adaptation was needed because these themes were originally framed in terms of business, and not school organizations. For each theme, the ideas from In Search of Excellence were therefore converted into school-based propositions--specific concrete practices in a school setting. A few examples of this conversion are described below.

Take a simple example first. Some actions linked under one of the excellence themes, "Being Close to the Customer," call for the frequent assessment of customer satisfaction and the early confrontation of

undesirable results. In the words of Peters and Waterman, "...regional and branch people are brought in monthly to discuss account losses. In addition, the president, chairman, and senior officers all receive daily reports of lost accounts."[8] In a school organization, several analogous procedures seemed to be relevant and therefore were made the topic of investigation--e.g.:

- The frequency and nature of student testing, with the test information used to improve school practices;
- The readiness of school administrators and staff to deal with student (and parent) complaints, with this information also used to improve school practices;
- Attendance by students in different classroom and extracurricular activities, and participation by parents in school activities--and the degree to which such "participation rates" are used by the school as a type of feedback about "customer" satisfaction.

Again, an important observation is that the items are not merely correlative; they begin to specify causal directions and rationales in a manner going beyond the typical variable (e.g., "frequency of student testing") commonly found in the traditional school effectiveness literature.

A second example covers the excellence theme of "Having a Bias for Action," which Peters and Waterman define as de-emphasizing paperwork, being out of the office, and fostering experimentation. These organizational actions were considered relevant to school organization and management, and thus several illustrative kinds of school activities were included in the framework for studying exemplary schools (see Chapter V on excellence theory):

- Maintenance of a small staff devoted exclusively to administrative responsibilities, with most of the personnel resources devoted to educational "operations" (e.g., teaching, counseling, supervision of extracurricular activities);

- Minimal interference by bureaucratic procedures on educational operations; and

- Flexible use of ad hoc, short-lived committees to produce changes and, possibly, to compensate for the small size of the administrative staff.

Administration at the Classroom Level. A final matter in defining school operations was the issue of examining practices in classrooms. Regardless of whether propositions from effectiveness or excellence theory were being tested, an important part of the data collection was aimed at determining the implementation of organizational policies and procedures within the classroom. This perspective was included to test whether classroom practices might be largely unaffected by any organizational actions, whether emanating from the school or district level. To the extent that this was true, the appropriate interventions for attaining exemplary schools would be at the teaching and classroom levels, with organizational actions having little real significance.

In other words, because of the critical nature of the organizational-instructional linkage, the study needed to observe classroom behavior explicitly and to link this behavior to any relevant district or school policies. Note, however, that the study was not a traditional classroom study, in that the study was limited to this implementation perspective and was not trying to identify all the classroom factors that might have been relevant in affecting student performance.

District Policies. District policies, of course, were of direct concern to the study. The relevant items were limited to two categories:

1. District policies and procedures that appear to affect school operations; and

2. District policies that appear to affect the outcomes of school performance directly without necessarily affecting school operations.

Examples of the first category were district policies or procedures that might expand or limit the range of a school's options for "Being Close to the Customer" and "Having a Bias for Action" (excellence theory) or "Instructional Leadership" and "Positive School Climate" (effectiveness theory). Thus, data collection about a school's testing program was enhanced by inquiries about district policies and procedures regarding testing programs, to determine how the school's policies and procedures had been affected by these external initiatives. An example of the second category would be where the district had redefined a school's boundaries. If the composition of the resulting student population had changed, district policies and procedures might have directly affected school outcomes. Thus, this second category was conceptually important and also was included in the final data collection protocol.

In summary, the relevant district initiatives were only those that potentially affected the school policies or school outcomes of the secondary schools being studied. This limitation had two implications. First, the study did not attempt to deal with those district policies or procedures that lead to outcomes external to the school--e.g., those actions affecting other schools or district goals more generally.

Second, the research design did not attempt to deal with district-school relationships in a broader sense (other than for contextual purposes). Such a broadening of the design would have required inquiry in a bi-directional mode--e.g., understanding how school policies and outcomes might affect district outcomes as well as vice-versa. This extension was also viewed as shifting the scope of concern of the study towards a "district-school relationship" type of inquiry.

Three Types of Sites

In short, the within-site design covered two types of variables for which data were to be collected: school outcomes and school operations. All of these variables were represented in the data collection procedures, but the extent of data collection varied according to three types of sites. The first type of site, in which intensive data collection was to occur, was called intensive sites. The second kind, called focused sites, had less intensive data collection. The third type was interview sites, in which data collection was much more limited in scope. The distinctions among these three types of sites, the criteria for their selection, and the data collection efforts for each type, are described next.

B. Cross-Site Design

Definition of Universe of Sites

Eligible Sites. Because the goal of the study was to determine the practices producing exemplary high schools, the unit of analysis was defined as a school in which students graduate from the twelfth grade, regardless of the starting grade of the school. Such schools had to be comprehensive in scope--e.g., not vocational or magnet schools. In addition, to assure that the results of the study could address the needs of the common urban high school in the U.S. today, three criteria were used for defining eligible sites:

1. The school could not have any admission requirements based on entrance exams, interviews, or achievement standards;
2. The school had to have a minority enrollment of at least 30 percent; and
3. The school had to have a low-income enrollment of at least 30 percent.

These criteria were purposely selected to direct the study to the needs of the public education of urban, disadvantaged students.

To qualify as urban schools, the schools had to be part of school districts located in:

- Urban areas of 100,000 persons or more, with densities of at least 1,000 persons per square mile.

This definition of eligible urban areas matched a specific set of cities enumerated in the 1980 census, and these cities are shown in Table II-1 (a few cities failed to meet the density criterion, and these have been crossed out). The table therefore enumerates 166 urban locations that were used as the universe for study.

In addition, at least one of the intensive and focused sites had to be in one of the twenty cities with the largest student enrollment.

Table II-1

CITIES WITH 100,000 INHABITANTS OR MORE IN 1980: POPULATION, 1970 AND 1980

City	Population										
	1970		1980								
	Total [1] (1,000)	Percent Black [1]	Total (1,000)	Rank	Percent change, 1970-1980	Persons— Black	Persons— Spanish origin [2]	Persons— Under 18 years old	Persons— 65 years and over	Per square mile
Akron, Ohio	275	17.8	237	98	-13.9	32.2	.8	26.4	13.5	4,185
Albany, N.Y	116	12.2	102	164	-12.1	16.1	1.8	20.8	16.6	4,710
Albuquerque, N. Mex	245	3.2	332	44	35.7	2.5	33.8	27.8	9.4	3,485
Alexandria, Va	111	14.1	103	160	-7.0	22.3	3.9	19.3	9.2	6,667
Allentown, Pa	110	1.8	104	156	-5.6	3.1	5.1	22.4	16.1	5,570
Amarillo, Tex	127	5.3	149	107	17.5	5.5	9.2	29.0	10.1	1,963
Anaheim, Calif	166	(B)	219	69	31.8	1.2	17.2	28.5	7.7	5,259
Anchorage, Alaska	48	3.4	174	74	262.9	3.3	3.9	31.7	3.4	101
Ann Arbor, Mich	100	6.7	108	146	7.9	8.3	2.1	19.1	8.9	4,399
Arlington, Tex	90	.8	160	84	77.5	2.9	4.1	28.5	4.5	2,624
Atlanta, Ga	496	51.3	425	29	-14.1	66.6	1.4	26.8	11.5	3,244
Aurora, Colo	75	1.2	158	86	111.5	6.9	8.0	29.5	4.3	2,667
Austin, Tex	254	11.8	345	42	36.3	12.2	18.7	24.5	7.3	2,575
Bakersfield, Calif	70	13.3	106	152	51.9	10.6	15.0	29.1	9.2	1,436
Baltimore, Md	906	46.4	787	10	-13.1	54.8	1.9	26.9	12.8	9,788
Baton Rouge, La	166	27.8	219	62	32.2	36.5	1.8	27.3	8.7	3,582
Beaumont, Tex	118	30.7	118	132	.5	35.6	2.5	28.3	11.4	1,629
Berkeley, Calif	114	23.5	103	159	-9.4	29.1	6.1	18.4	16.6	9,466
Birmingham, Ala	301	42.0	284	50	-5.5	56.6	.8	25.6	13.9	3,667
Boise City, Idaho	75	.4	102	162	36.6	.5	2.5	28.9	10.2	2,937
Boston, Mass	641	16.3	563	20	-12.2	22.4	6.4	21.8	12.7	11,999
Bridgeport, Conn	157	16.3	143	116	-8.8	21.8	16.7	27.8	13.4	8,667
Buffalo, N.Y	463	20.4	358	30	-22.7	38.6	2.7	25.2	15.9	6,551
Cedar Rapids, Iowa	111	1.6	110	141	-.4	2.3	.9	27.6	11.9	2,648
Charlotte, N.C	241	30.3	314	47	30.2	31.9	1.1	27.8	8.6	2,351
Chattanooga, Tenn	130	32.8	170	87	41.4	31.7	.8	26.7	12.7	1,370
Chesapeake, Va	90	22.1	114	137	27.3	27.9	.9	27.9	3.1	697
Chicago, Ill	3,369	32.7	3,006	2	-10.8	39.8	14.0	28.4	11.4	13,174
Cincinnati, Ohio	454	27.8	386	32	-15.0	33.6	.8	25.2	14.6	6,226
Cleveland, Ohio	751	38.3	574	18	-23.6	43.8	2.1	27.8	13.6	7,264
Colorado Springs, Colo	135	6.2	216	66	60.6	6.6	6.5	26.3	6.3	2,691
Columbia, S.C	114	29.9	101	167	-10.9	40.2	2.2	26.2	10.1	2,145
Columbus, Ga	170	29.5	169	85	-.4	34.2	2.1	29.2	9.9	2,776
Columbus, Ohio	540	18.5	565	19	4.6	22.1	.9	25.8	9.9	3,123
Concord, Calif	85	.3	103	158	21.2	1.7	7.2	27.9	7.3	3,515
Corpus Christi, Tex	205	6.1	232	60	13.4	6.1	46.0	32.4	8.2	2,237
Dallas, Tex	844	24.9	904	7	7.1	29.4	12.3	27.0	9.5	2,715
Davenport, Iowa	98	4.2	103	160	4.9	6.1	2.6	29.1	10.5	1,736
Dayton, Ohio	243	33.5	203	70	-16.2	36.9	.9	27.4	11.9	4,302
Denver, Colo	515	9.1	492	24	-4.3	12.9	16.8	22.5	12.6	4,452
Des Moines, Iowa	201	5.7	191	74	-5.2	6.8	1.8	25.9	12.5	2,980
Detroit, Mich	1,514	43.7	1,203	6	-20.5	63.1	2.4	28.3	11.7	6,874
Durham, N.C	96	28.8	101	169	5.7	47.1	.9	23.2	12.1	2,464
Elizabeth, N.J	113	15.5	106	150	-6.7	16.2	28.7	25.7	13.2	9,560
El Paso, Tex	322	2.3	425	28	32.0	3.2	62.5	36.0	8.8	1,770
Erie, Pa	129	6.6	119	130	-7.8	8.7	1.1	27.3	13.4	5,450
Eugene, Oreg	79	.8	106	151	33.7	1.1	2.1	22.4	9.5	3,250
Evansville, Ind	139	7.3	130	121	-6.0	8.8	.8	24.6	15.2	3,469
Flint, Mich	193	28.1	160	86	-17.4	41.4	2.5	31.9	10.0	4,911
Fort Lauderdale, Fla	140	14.6	153	101	9.0	21.0	4.2	19.3	19.1	4,795
Fort Wayne, Ind	179	16.6	172	80	-3.4	14.6	2.2	28.9	11.9	3,774
Fort Worth, Tex	393	19.0	385	33	-2.1	22.8	12.5	27.1	11.0	1,804
Fremont, Calif	101	(B)	132	119	30.8	2.5	14.0	30.1	5.2	1,643
Fresno, Calif	166	9.6	218	65	31.7	9.5	23.6	27.9	10.9	3,326
Fullerton, Calif	86	.8	102	163	18.7	1.8	13.5	24.2	8.0	4,620
Garden Grove, Calif	121	(B)	123	127	1.8	.8	13.5	28.3	7.4	7,846
Garland, Tex	81	3.7	139	115	70.5	5.3	6.3	33.7	4.1	2,466
Gary, Ind	175	52.8	152	104	-13.4	70.8	7.1	34.0	8.2	3,857
Glendale, Calif	133	(B)	139	114	4.8	.3	17.8	20.9	16.3	4,540
Grand Rapids, Mich	198	11.3	182	75	-8.0	16.7	3.2	27.4	13.4	4,190
Greensboro, N.C	144	29.2	156	100	8.0	33.6	.8	25.3	9.6	2,561
Hampton, Va	121	25.4	123	128	1.5	34.3	1.4	29.1	7.9	2,390

Table II-1, continued

CITY	POPULATION									
	1970		1980							
	Total [1] (1,000)	Percent Black [1]	Total (1,000)	Rank	Percent change, 1970–1980	Percent— Black	Spanish origin [2]	Under 18 years old	65 years old and over	Persons per square mile
Hartford, Conn	158	27.9	136	117	−13.7	33.9	20.5	26.0	11.4	7,662
Hialeah, Fla	102	1.1	146	108	41.8	1.5	74.3	34.2	11.4	7,482
Hollywood, Fla	107	3.7	121	129	13.5	4.1	5.3	19.6	25.1	5,249
Honolulu, Hawaii [3]	325	.7	366	36	12.4	1.2	5.2	23.1	10.4	4,196
Houston, Tex	1,234	25.7	1,595	5	29.3	27.6	17.6	29.4	8.9	2,947
Huntington Beach, Calif	116	(2)	171	85	47.6	.7	7.9	27.9	5.9	5,291
Huntsville, Ala	139	12.1	143	111	2.3	20.7	1.0	28.9	7.8	1,256
Independence, Mo	112	.6	112	140	.3	.7	1.4	27.2	10.9	1,369
Indianapolis, Ind	737	18.0	701	12	−4.9	21.8	.9	28.6	10.3	1,980
Irving, Tex	97	1.0	110	142	13.0	1.5	7.4	29.1	4.7	1,835
Jackson, Miss	154	36.7	203	71	31.8	47.0	.7	29.6	9.7	1,910
Jacksonville, Fla	541	29.0	541	32	0.0	29.4	1.0	29.6	9.6	710
Jersey City, N.J	260	21.8	224	81	−14.1	27.7	18.6	29.4	11.8	16,934
Kansas City, Kans	168	20.4	161	93	−4.2	25.3	4.9	29.6	11.7	1,499
Kansas City, Mo	507	22.1	448	27	−11.7	27.4	3.3	26.5	12.3	1,417
Knoxville, Tenn	175	12.7	175	77	.3	14.6	.7	21.9	13.8	2,270
Lakewood, Colo	93	.1	113	136	21.7	.5	5.9	27.6	7.2	3,174
Lansing, Mich	131	9.3	130	122	−.8	13.9	6.3	29.2	8.7	3,884
Las Vegas, Nev	126	11.2	165	89	30.9	12.8	7.6	27.9	8.3	2,864
Lexington-Fayette, Ky	108	10.0	204	63	89.0	10.9	.7	25.0	9.6	717
Lincoln, Nebr	150	1.5	172	81	15.0	2.0	1.6	23.5	10.3	2,868
Little Rock, Ark	132	26.0	158	96	19.6	32.2	.8	26.0	11.0	1,996
Livonia, Mich	110	(2)	106	153	−4.6	.1	.9	28.4	7.8	3,018
Long Beach, Calif	359	5.3	361	37	.7	11.3	14.0	22.9	14.0	7,256
Los Angeles, Calif	2,812	17.9	2,967	3	5.5	17.0	27.5	25.1	10.6	6,364
Louisville, Ky	362	23.8	298	46	−17.5	26.2	.7	25.0	15.3	4,974
Lubbock, Tex	149	7.3	174	79	16.7	8.2	16.6	27.7	7.8	1,920
Macon, Ga	122	37.3	117	134	−4.5	44.5	.7	26.7	11.9	2,357
Madison, Wis	172	1.5	171	84	−.7	2.7	1.3	20.5	9.7	3,166
Memphis, Tenn	624	38.9	646	14	3.6	47.6	.8	29.1	10.4	2,447
Mesa, Ariz	63	1.2	152	102	141.8	1.2	8.1	30.1	11.2	2,250
Miami, Fla	335	22.7	347	41	3.6	25.1	55.9	21.4	17.0	10,113
Milwaukee, Wis	717	14.7	636	16	−11.3	23.1	4.1	27.0	12.5	6,641
Minneapolis, Minn	434	4.4	371	34	−14.6	7.7	1.3	20.0	15.4	6,732
Mobile, Ala	190	35.4	200	72	5.5	36.2	1.1	29.6	11.1	1,630
Modesto, Calif	62	1.9	107	149	72.7	2.1	10.5	29.5	9.7	4,291
Montgomery, Ala	133	33.4	178	78	33.3	39.2	9	30.2	10.1	1,388
Nashville-Davidson (Tenn.)	448	19.9	456	23	1.9	23.2	.8	23.4	11.9	999
New Haven, Conn	138	26.3	126	125	−8.4	31.9	8.0	25.3	13.1	6,672
New Orleans, La	593	45.0	558	21	−6.1	55.3	3.4	29.6	11.7	2,796
New York, N.Y	7,896	21.1	7,072	1	−10.4	25.2	19.9	25.0	13.5	23,455
Bronx Borough	1,472	24.3	1,169	(x)	−20.6	31.8	33.9	29.2	12.9	29,008
Brooklyn Borough	2,602	25.2	2,231	(x)	−14.3	32.4	17.6	29.3	12.5	31,762
Manhattan Borough	1,539	24.7	1,428	(x)	−7.2	21.7	23.5	17.7	14.3	64,395
Queens Borough	1,987	13.6	1,891	(x)	−4.8	19.7	13.9	23.1	14.9	17,411
Staten Island Borough	295	5.3	352	(x)	19.2	7.3	5.4	29.1	10.9	5,995
Newark, N.J	382	54.2	329	46	−13.9	58.2	19.6	34.1	8.8	13,662
Newport News, Va	138	29.4	145	109	4.9	31.5	1.8	29.4	7.8	2,219
Norfolk, Va	308	29.3	267	55	−13.3	35.2	2.3	24.6	9.2	5,037
Oakland, Calif	362	34.5	339	43	−6.1	46.9	9.6	24.3	13.2	6,296
Oklahoma City, Okla	366	13.7	403	31	9.9	14.6	3.0	27.4	11.6	999
Omaha, Nebr	347	9.9	314	48	−9.4	12.0	2.3	27.5	12.2	3,457
Orlando, Fla	99	29.5	128	124	29.6	30.0	3.9	24.0	12.7	3,248
Oxnard, Calif	71	8.0	108	145	51.9	8.1	44.4	33.2	6.6	4,508
Pasadena, Calif	113	10.1	119	131	5.0	20.7	10.4	23.1	14.9	5,154
Pasadena, Tex	90	.1	113	139	25.1	.6	17.0	31.4	4.8	2,874
Paterson, N.J	145	26.9	138	116	−4.7	34.1	29.7	32.8	10.3	16,623
Peoria, Ill	127	11.5	124	126	−2.2	16.7	1.4	27.6	12.3	3,026
Philadelphia, Pa	1,949	33.6	1,688	4	−13.4	37.6	3.8	25.9	14.1	12,413
Phoenix, Ariz	584	4.8	790	9	35.2	4.8	14.6	29.6	9.3	2,437
Pittsburgh, Pa	520	20.2	424	30	−18.5	24.0	.8	21.4	18.0	7,652
Portland, Oreg	380	8.0	366	35	−3.8	7.6	2.1	21.8	15.3	3,547
Portsmouth, Va	111	39.9	105	154	−5.8	45.1	1.0	29.7	10.7	3,498

Table II-1, continued

City	Population									
	1970		1980							
						Percent—				
	Total[1] (1,000)	Percent Black[2]	Total (1,000)	Rank	Percent change, 1970–1980	Black	Spanish origin[3]	Under 18 years old	65 years old and over	Per square mile
Providence, R.I.	179	8.9	157	99	−12.5	11.8	5.8	23.2	15.3	8,297
Pueblo, Colo.	98	2.1	102	185	4.0	2.1	36.5	28.5	12.3	3,063
Raleigh, N.C.	123	22.7	150	105	22.3	27.4	.9	22.3	8.3	2,793
Reno, Nev.	73	2.2	101	189	38.3	2.7	5.1	20.1	10.5	3,250
Richmond, Va.	249	42.0	219	64	−12.1	51.3	1.0	22.4	14.1	3,660
Riverside, Calif.	140	5.2	171	83	22.0	6.9	16.2	29.2	8.8	2,360
Roanoke, Va.	92	19.3	100	170	8.8	22.0	.7	24.4	18.6	2,326
Rochester, N.Y.	295	16.8	242	57	−18.1	25.8	5.4	25.6	14.8	7,068
Rockford, Ill.	147	8.3	140	113	−5.2	13.2	2.8	27.8	12.6	3,801
Sacramento, Calif.	257	10.7	276	52	7.2	13.4	14.2	24.6	13.6	2,869
St. Louis, Mo.	622	40.8	453	26	−27.2	46.6	1.2	24.1	17.6	7,379
St. Paul, Minn.	310	3.5	270	54	−12.8	4.9	2.9	24.1	15.9	6,157
St. Petersburg, Fla.	216	14.8	238	58	10.4	17.2	1.8	20.4	25.6	4,300
Salt Lake City, Utah	176	1.2	163	80	−7.3	1.5	7.6	24.2	14.7	2,166
San Antonio, Tex.	654	7.6	786	11	20.1	7.3	53.7	32.2	9.5	2,982
San Bernardino, Calif.	107	14.0	117	133	9.8	14.0	25.4	28.1	11.0	2,208
San Diego, Calif.	697	7.6	876	8	25.6	8.0	14.9	24.1	8.7	2,726
San Francisco, Calif.	716	13.4	679	13	−5.1	12.7	12.3	17.2	15.4	14,636
San Jose, Calif.	460	2.5	629	17	36.9	4.6	22.3	31.0	6.2	3,964
Santa Ana, Calif.	156	4.3	204	99	30.8	4.8	44.8	30.6	7.4	7,435
Savannah, Ga.	118	44.9	141	112	19.5	48.0	1.3	29.6	11.4	2,489
Seattle, Wash.	531	7.1	494	23	−7.0	9.5	2.6	17.6	15.4	3,415
Shreveport, La.	182	34.1	206	87	13.0	41.1	1.3	30.5	11.7	2,644
South Bend, Ind.	126	14.1	110	143	−12.8	18.3	2.4	26.8	14.8	3,014
Spokane, Wash.	171	1.3	171	82	.5	1.8	1.5	24.5	16.3	3,313
Springfield, Mass.	164	12.6	152	103	−7.1	16.6	9.1	27.5	13.8	4,805
Springfield, Mo.	120	2.0	133	118	10.8	2.1	.7	23.2	13.2	2,051
Stamford, Conn.	109	12.3	102	161	−5.8	15.0	5.6	24.5	12.0	2,660
Sterling Heights, Mich.	61	.1	109	144	77.6	.2	.9	34.5	4.5	2,078
Stockton, Calif.	110	11.8	150	106	36.2	10.4	22.1	29.2	11.0	3,744
Sunnyvale, Calif.	96	.8	107	146	11.1	2.4	11.5	23.0	8.2	4,650
Syracuse, N.Y.	197	10.8	170	86	−13.8	15.7	1.7	23.3	14.6	7,147
Tacoma, Wash.	154	8.8	158	97	2.7	9.2	2.4	26.8	13.5	3,323
Tampa, Fla.	278	19.7	272	53	−2.2	23.5	13.3	25.1	14.8	3,217
Tempe, Ariz.	64	.7	107	147	68.8	1.8	8.2	24.7	4.7	2,822
Toledo, Ohio	383	13.8	355	40	−7.4	17.4	3.0	28.1	12.5	4,212
Topeka, Kans.	125	9.4	115	136	−7.8	9.5	4.6	25.2	13.9	2,333
Torrance, Calif.	135	(D)	130	123	−3.8	.7	8.3	23.8	8.5	6,341
Tucson, Ariz.	263	3.5	331	45	25.7	3.7	24.8	25.5	11.7	3,346
Tulsa, Okla.	330	10.6	361	36	9.3	11.8	1.7	25.8	10.8	1,945
Virginia Beach, Va.	172	9.1	262	66	52.3	10.0	2.0	30.7	4.5	1,025
Waco, Tex.	95	19.9	101	166	6.2	21.8	11.1	24.3	14.3	1,367
Warren, Mich.	179	(D)	161	92	−10.1	.2	.9	27.8	8.8	4,880
Washington, D.C.	757	71.1	638	15	−15.6	70.3	2.8	22.5	11.6	10,181
Waterbury, Conn.	108	10.1	103	157	−4.4	11.6	6.7	25.8	15.5	3,811
Wichita, Kans.	277	9.7	279	51	1.0	10.8	3.5	26.3	10.6	2,754
Winston-Salem, N.C.	134	34.3	132	120	−1.3	40.2	.8	25.3	12.1	2,188
Worcester, Mass.	177	1.9	162	91	−8.4	2.9	4.3	23.6	16.3	4,326
Yonkers, N.Y.	204	6.4	195	73	−4.4	10.5	8.7	23.1	14.8	10,655
Youngstown, Ohio	141	25.2	116	135	−18.1	33.3	3.3	26.3	14.6	3,346

Source: U.S. Bureau of the Census, Census of Population, 1970, vol. 1, parts A and B; and 1980 Census of Population, vol. 1, parts A and B, pp 22-24.

The other intensive and focused sites were not selected according to district enrollment size; however, total enrollment was used as a stratifying criterion for the interview sites.

About this universe, certain characteristics of schools therefore needed to be known beforehand, to determine how any candidate site might compare, on the outcome criteria previously listed. Unfortunately, a thorough and exhaustive search revealed no such database about school performance in these 166 urban locations. However, data happened to be available about a relevant pool of urban high schools--providing suitable proxies concerning the characteristics of the universe of relevant schools. These data came from the entire set of 435 schools, in 64 selected cities, that had been eligible to participate in the Ford Foundation's City High School Recognition Program (see Table II-2 for a list of cities). Thus, it was determined that the Ford Program's database provided appropriate baseline information for site selection. In other words, sites to be nominated did not have to be part of the original Ford Program pool; but the characteristics of the pool were used as an aggregate context against which to assess the eligibility of a specific site.

In the Ford Program, school data were collected during 1981-82 and 1982-83 as part of a process to award grants to selected urban high schools to improve their curricula and programs. Eligible schools were defined as: a) having a comprehensive and general academic curriculum, b) serving at least 30 percent disadvantaged and minority students, and c) having no exam-based entrance requirements. Based on these criteria, 292 schools submitted self-nominations, and all of these schools were asked to submit further information about themselves as well as to be the subjects of site visits.

Information submitted by schools on outcome performance was important in not only determining criterion levels for exemplariness relative to urban high schools but also in providing comparison norms for selecting the sites for the present study.

The first school outcome of interest to the study was average achievement test scores on reading and mathematics. Within the Ford

Table II-2

CITIES IN FORD FOUNDATION
CITY HIGH SCHOOL RECOGNITION PROGRAM

1982: 40 Cities, 210 Eligible Schools

Albuquerque	Minneapolis
Atlanta	Oakland
Baltimore	New Orleans
Birmingham	Norfolk
Charlotte	Omaha
Columbus	Pittsburgh
Denver	Portland
Des Moines	Providence
Detroit	Rochester
Fresno	Salt Lake City
Houston	San Antonio
Indianapolis	San Diego
Jackson	Seattle
Jersey City	Spokane
Kansas City	Syracuse
Knoxville	Tampa
Las Vegas	Tucson
Lubbock	Tulsa
Memphis	Washington, D.C.
Milwaukee	Worchester

1983: 24 Cities, 225 Eligible Schools

Austin	Los Angeles
Boston	Miami
Buffalo	Nashville
Chicago	Newark
Cincinnati	New York
Cleveland	Oklahoma
Dallas	Philadelphia
El Paso	Phoenix
Fort Worth	St. Louis
Honolulu	San Francisco
Jacksonville	San Jose
Long Beach	Toledo

Source: Ford Foundation, City High Schools: A Recognition of Progress, New York, 1984.

Program pool of schools, however, the type of achievement test used and reporting of test results varied. For comparison purposes, the schools' average scores were compiled by type of test. As but one example of a subset of schools in the Ford Program database, Table II-3 shows the distribution of average achievement tests scores for reading and mathematics for secondary schools using the California Achievement Test (CAT). The data in Table II-3 indicate that few urban high schools have average scores that are at grade level or at the 50th percentile or above. Only 10 percent of the schools have reading and mathematics averages at or above 10.0 for the tenth grade and 11.0 for the eleventh grade. Thus, for an urban high school to qualify as an exemplary site, the percentile rank only had to be 50th or above or average scores at the grade level equivalents for tenth or eleventh grades.

The second outcome measure of importance in site selection from the Ford Program was average daily student attendance. (Table II-4 displays the distribution of the Ford schools for student attendance.) The majority of schools had average daily attendance in the 81 to 90 percent range. Thus, it was determined that an exemplary urban high school would have an average over 90 percent.

Contextual Conditions. A final set of criteria for defining eligible sites had to do with regional and community characteristics. First, the final pool of sites to be included in the study had to cover five regions of the country: Northeast, Southeast, Midwest, Southwest, and West. The use of such strata helped to maintain the national orientation of the study.

The sites to be selected also had to reflect five types of urban communities, contrasting residential turnover rates, race, and language:

1. Stable, minority (black, native English-speaking) dominated communities;

2. Stable, minority (non-native English-speaking) dominated communities;

Table II-3

DISTRIBUTION ON CALIFORNIA ACHIEVEMENT TEST (CAT)

(N = 41 Schools in 1981-82 Ford Program)

Average Grade Level Equivalents

Grade 10	Number of Schools: Reading	Math	Grade 11	Number of Schools: Reading	Math
Below 8.0	4	2	Below 9.0	9	2
8.0 - 8.9	14	9	9.0 - 9.9	13	12
9.0 - 9.9	3	9	10.0 -10.9	3	8
10.0 or above	2	4	11.0 or above	0	3
No data	9	8	No data	7	7
Total	32	32	Total	32	32

Average Percentile Scores

Grade 10	Number of Schools: Reading	Math	Grade 11	Number of Schools: Reading	Math
1 - 30	2	2	1 - 30	3	3
31 - 40	2	2	31 - 40	2	2
41 - 50	4	3	41 - 50	1	2
51 - 99	0	0	51 - 99	0	0
No data	1	2	No data	3	2
Total	9	9	Total	9	9

Table II-4

AVERAGE PERCENT OF STUDENT DAILY ATTENDANCE
IN URBAN HIGH SCHOOLS

(N = 292 Schools in Ford Program)

Average Attendance	Number of Schools
60 - 70 percent	14
71 - 75 percent	12
76 - 80 percent	35
81 - 85 percent	68
86 - 90 percent	92
91 - 95 percent	35
96 - 99 percent	3
No data	33
Total	292

Median = 85
Mean = 83
Standard Deviation = 8.25

3. Stable, majority (white, native-English-speaking) dominated communities;

4. High-turnover communities, mainly limited to changes in minority (black, native-English-speaking) residents; and

5. High-turnover communities, with influx of minority (non-native English-speaking) residents.

This typology was admittedly crude, relative to current research on neighborhood conditions.[9] The typology ignored other conditions--especially socioeconomic levels, housing stock, urban service levels, and the functional specialization of the community within the larger urban setting. Moreover, the typology did not attempt to deal with any of the inevitable interactions among the several high-turnover conditions--e.g., differentiating between the situation in which a non-native English-speaking population is displacing another such population versus that in which it is displacing a black (English-speaking) population. Finally, the typology did not attempt to differentiate among different rates of residential turnover. Nevertheless, as a starting point, the typology was useful in determining whether school policies and procedures had some similarity within the same community type, but reflected some qualitatively different characteristics between community types.

Intensive, Focused, and Interview Sites

Any study, covering the scope of issues described to this point, faces the stereotypic dilemma of allocating resources to a small number of intensive case studies versus extending these resources to a larger number of sites to be covered more superficially. This tradeoff is created by the complexity of events within a single site, and the fact that a wide variety of information may be relevant at any given site.

The present study attempted to mediate this tradeoff by having three types of sites:

- Intensive: Case studies of four exemplary urban high schools, involving six person-weeks on-site per school;

- Focused: Modified case studies of four exemplary urban high schools, involving two-person weeks on-site, per school; and

- Interview: Collection of organization and management information on practices from 32 urban high schools, involving structured interviews.

These variations provided a balance between the needs for intensive information for a single site (due to the complexity of the topic being studied) and for coverage of a large number of sites.

Intensive Sites. Intensive sites were deemed the subject of case studies--calling for interviews, direct observations, and analysis of records and documents.[10] Such use of multiple sources of evidence allowed the investigators to pursue a corroboratory path, in which the details of school performance or practices were based on the convergence of information from several sources, and not just a single one. A case study methodology allowed inquiry into and explanation of complex phenomenon, such as the organizational and management actions related to school excellence or effectiveness. Typically, such situations are difficult to understand and explain with a survey approach. Additionally, the study of schools using a case study approach allowed for the consideration of numerous variables that were part of the context of the school--e.g., district policies, community conditions. Finally, the case study methodology provided an advantageous approach since explanation was desired, not simply a description, frequency study, or correlational analysis.

Therefore, individual schools were considered the topics of individual case studies, but the individual case studies were also part of a multiple-case design. A multiple-case design offered the opportunity to strengthen the degree of certainty of explanatory findings beyond what could be determined with a single case study. It enabled

the capacity to validate and replicate initial case findings in schools with similar characterictics.

In other words, a replication logic with multiple-case design allowed the investigator to test an initial set of propositions under a given set of conditions. It is analagous to conducting multiple experiments, with each succeeding experiment increasing the degree of support for previous findings.[11] In contrast, a study conducted with a sampling logic has the goal of determining the frequency of a particular phenomenon or the correlations among variables.

In sum, the replication logic for selection does not seek to test the frequency of organizational actions related to excellence and effectiveness, as in a sampling logic, but rather to explain what they are and how they operate. The selection process with a replication logic narrows the choice of eligible sites by specific conditions, e.g., type of community, and by criteria that allow a direct test of propositions, e.g. pre-selecting by school outcomes. The series of case studies in the multiple design are then used to determine an explanatory pattern across the findings from each site.

Four such intensive sites were selected, and the research design called for all four sites to have achieved exemplary levels of school performance. Sites were screened so that, before a final selection was made, an eligible intensive site had to:

- Be ranked in the top 10 percent, compared to the median of scholastic attainment and attendance, in the entire pool of Ford Foundation Program schools;
- Be recognized by the local community as an exemplary school, as reflected for instance by coverage in the mass media; and
- Show evidence of sustained exemplary performance over a period of at least three years.

In other words, the intensive sites were selected on the basis of known outcomes on the key dependent variables, and the desired outcomes were

all exemplary. Such site selection criteria assured that the investigators at an intensive site could pursue all facets of the conditions predicted from school effectiveness or excellence theories.

Three sources of information on urban high schools were used to screen and select the intensive sites: 1) nominations of exemplary schools by educators and research investigators; 2) review of the schools in the Ford Foundation City High School Recognition Program; and 3) direct contacts with research directors in urban districts. These nominated schools served as the pool for selecting the four sites. As part of a site-screening process, each nominated site was contacted individually to verify the site selection criteria. Specific information on performance outcome measures of student attendance and achievement test scores also was collected. Each eligible site was then compared to the data norms derived from the Ford pool of schools. Once a site was selected, the district and school were contacted to verify participation and arrange the site visits.

The data collection procedures were carried out over two visits to each site by a research team for two weeks each. The specific procedures to be carried out were enumerated in a formal data collection protocol (see Appendix A). This protocol was not a data collection instrument in the traditional sense--i.e., representing a set of questions to be answered by a field researcher based on various sources of evidence. Sources of evidence included interviews with district and school staff, classroom observations, and document and data collection. In addition, a second high school was identified within the same district of each intensive site to serve as a comparison site. The comparison site had to meet the same eligibility criteria, except for exemplary outcomes, and acted as a source of evidence to distinguish school-specific initiatives from those resulting from district initiatives.

The protocol outlined topics of concern to be investigated (e.g., students, curriculum, teachers, administrative leadership, organizational structure, and performance outcomes), and had the primary goal of substantiating the causal links between organizational actions and

practices associated with excellence and effectiveness theories and desirable school outcomes.

Focused Sites. Four focused sites were the subject of modified case studies. This second set of sites were also part of a multiple-case design and chosen using the same replication selection method. The focused sites were seen as replicating the findings of the intensive sites in four additional high-performing schools, but only with regard to organizational excellence theory.

The process of selecting the focused sites followed essentially the same procedures as those described above for the intensive sites. The schools to serve as focused sites came from the same pool as those nominated for intensive sites. The same steps were involved for contacting the district and school, explaining participation in the study, and collecting school data. The initial characteristics of the schools were verified as to their comprehensive status, percentage of low-income students, and student ethnic composition. Specific information on student attendance and achievement test scores was collected to verify performance outcomes. The four schools were then compared to the same Ford Program pool norms to validate their exemplary outcomes status. The four sites were also selected within the stratifying criteria for community characteristics and took into account geographic location and size of city location.

The primary difference between the intensive and focused sites was the extent of data collection--one site visit of two person/weeks. Data collection procedures followed a different protocol, calling for the identification of specific organizational and management practices associated with only one theory--excellence theory (see Appendix B). Investigators documented evidence of the practices as well as information on their origin, implementation history, costs, and transferability. Sources of information included interviews with key school and district staff and analyses of documents and records. Similar to the intensive sites, a second school in the same district was used as a comparison site to document the existence of or variations in identified practices. The documented practices and analysis of the focused

sites allowed further testing and refinement of organization and management practices related to exemplariness in urban high schools.

Interview Sites. In contrast, interview sites were the subject of data collection by face-to-face interview only, and only with a few key people. Readily available school records also were collected, mainly to assess school performance, but no attempt was made to establish a convergence of evidence on school operations and the scope of inquiry was narrower than at the intensive and focused sites. Given the available resources, 32 such interview sites were selected through a cluster sampling method; therefore their performance levels were not known beforehand.

The schools were selected from the same pool of eligible schools in the 166 cities used in the first two groups using two criteria. First, the cities in which these schools were located had to vary, both with regard to regional location and with regard to population size. Second, to minimize travel costs, the cities had to be within 200 miles of other cities that were already the subject of a site visit for some other purpose--i.e., near any of the eight cities in the first two groups visited. Given these two criteria, 46 cities were identified as potential sites for this group of schools.

The district offices in these 46 cities were contacted to determine which schools in the districts met all the eligibility criteria (comprehensiveness, minority, and low-income student population, and absence of entrance requirements) as well as whether they were willing to participate in the study. The final selection of 16 districts was made on the basis of the responses to these inquiries. In each of the 16 districts, two schools were chosen randomly from those eligible, to be included in the study.

In summary, a group of 32 schools was the subject of this third inquiry. The 32 schools fell within 16 cities, distributed by geographic region and population size. However, the schools were not intended to represent the broader pool of eligible schools in any statistical sense. Rather, the main purpose of having this third group was to provide a broader database than the first two sets of sites, and

to have a group of schools that had not been pre-selected according to prior knowledge of school outcomes.

The data collection procedures for this third group of schools also differed from those of the intensive and focused sites. All of the data for the interview sites, except for those concerning school outcomes, came from interviews with several knowledgeable persons about the school. The pool of such persons consisted of five school staff: the school's principal, its teachers, and chairpersons of the mathematics and English departments; in addition, two district administrators having supervisory responsibility for secondary schools were interviewed. (The information on school outcomes came from records reported by the district.)

Each of these informants was interviewed, in an open-ended manner, for about 30-45 minutes. The general topics covered were guided by a field instrument, and the subsequent coding of the field notes became the basis for establishing uniform categories across informants. The general topics were the school practices reflecting excellence and school effectiveness theories (see Appendix C for the protocol for the interview sites).

The information from each interviewee was coded separately. Futhermore, for this analysis, the responses of only the five school staff members (and not the two district administrators) were used. Thus, because five school staff were interviewed for each school, a total of 160 interviews were coded, and these became the basic units of analysis for examining the data from the interview sites. Although there were multiple interviews for each school, the analysis strategy did not call for clustering these interviews according to schools. Instead, such clustering was rejected, to preserve the variation among individuals and to avoid having to develop an arbitrary scheme for weighting the responses (i.e., to distinguish a 3-2 split among the interviewees from the same school from a 5-0 split).

The lack of clustering produced two counteracting biases in the data analysis for the interview sites. On the one hand, where all five interviewees agreed on the same response, the resulting data analysis

would look artificially more "significant," because the 160 interviews only really reflected 32 schools. On the other hand, where all five interviewees disagreed in their responses, any tests of significance would have to overcome the variance created by these within-school disagreements (any clustering would have masked such disagreements).

Tabulations of this degree of agreement/disagreement revealed that 5-0 splits occurred about 25 percent of the time, with the remaining frequencies consisting of 4-1 splits (about 30 percent), 3-2 splits (about 20 percent), and splits among three or more different kinds of responses (about 25 percent). In general, the level of agreement was therefore not regarded as being particularly high. Moreover, the subsequent analysis did not depend upon any single significance test to establish the broader patterns upon which conclusions were based.

Summary. In summary, the rationale underlying the identification of intensive, focused, and interview sites was to allow for full proposition testing of the excellence and effectiveness theories (the four intensive sites and the four focused sites) as well as for some assessment of the prevalence or frequency of the pertinent school outcomes and school operations and practices (the 32 interview sites).

The site selection process therefore required four levels of detail. First, all sites had to be screened to determine whether they were comprehensive high schools and did not use selection criteria (e.g., exams) for admissions, and whether they had minority and low-income enrollments of over 30 percent each. This was the basic definition of an eligible site. Second, school performance information was also needed to select the four intensive sites and the four focused sites. Third, geographic, but not performance information was used to select the interview sites. Table II-5 summarizes the types and number of sites, also indicating the interval for data collection, and Table II-6 shows the site selection criteria for the different sites. Lastly, all sites were stratified according to city size, to ensure coverage of this contextual variable (see Table II-7 for listing of the 24 city locations of the 40 study sites).

Table II-5

DESIGN AND DATA COLLECTION

Type of Site (School)	Number	Level of Effort in Collecting Data	Dates of Data Collection
Intensive Site	4	Six person/weeks per site	Spring-Fall 1984 Spring-Fall 1985
Focused Site	4	Five person/days per site	Fall 1985
Interview Site	32	Forty-five person/ days for all sites	Spring 1985

Table II-6

SITE SELECTION CRITERIA

(Urban, Comprehensive High Schools)

Criterion	Type of Site		
	Intensive	Focused	Interview
Number	4 schools 4 cities	4 schools 4 cities	32 schools 16 cities
Student Composition	at least 30 percent minority; 30 percent low-income	same	same
Second School in same city, for comparison	yes	yes	no
School outcomes known to be exemplary	yes	yes	no
Variation in five regions of country	yes	yes	yes
Variation in racial/ ethnic groupings	yes	yes	yes

Table II-7

CITY LOCATIONS OF SELECTED SITES,
BY REGION AND CITY SIZE

City Population (000's)	Region of Country					
	Northeast	Southeast	Midwest	Southwest	West	Total
100-199	Hartford	Chattanooga Portsmouth	Kansas City, KS			4
200-499	Rochester	Norfolk Miami	St. Louis	Albuquerque Fort Worth	San Jose Oakland	8
500-999	Baltimore Boston		Cleveland Indianapolis Milwaukee	Dallas San Antonio	Denver San Francisco Seattle	10
1,000 +			Detroit		Los Angeles	2
Total	4	4	6	4	6	24

NOTES TO CHAPTER II

[1]The within-site and cross-site issues may be considered analogous to within-case and cross-case issues in doing case study research. See Robert K. Yin, Designing and Doing Case Studies, Sage Publications, Beverly Hills, Calif., 1984.

[2]Michael Rutter, "School Effects on Pupil Progress: Research Findings and Policy Implications," in Lee S. Shulman and Gary Sykes (eds.), Handbook of Teaching and Policy, Longman, Inc., New York, 1983.

[3]See Rutter, op. cit. and Michael H. Kean, Issues in Identifying Effective Schools, Educational Testing Service, Evanston, Illinois, June 1982.

[4]See Kean, op. cit., for a discussion.

[5]Thomas J. Peters and Robert H. Waterman, Jr., In Search of Excellence, Harper and Row, New York, 1982.

[6]John Ralph and James Fennessey, "Science or Reform: Some Questions About the Effective Schools Model," Phi Delta Kappan, June 1983, 64:689-694.

[7]For example, see Rolf Lehming and Michael Kane, Improving Schools: Using What We Know, Sage Publications, Beverly Hills, Calif., 1981.

[8]Peters and Waterman, op. cit., p. 182.

[9]Robert K. Yin, Conserving America's Neighborhoods, Plenum Press, New York, 1982.

[10]Yin, op. cit., 1984.

[11]See Michel Hersen and D.H. Barlow, Single-Case Experimental Designs: Strategies for Studying Behavior, Pergamon Press, New York, 1976.

III. SITE CHARACTERISTICS AND OUTCOMES

This chapter presents the characteristics of the schools studied, including their performance on the outcome measures. The schools are covered according to the type of data collection effort that was made--intensive, focused, and interview sites.

A. Intensive Sites

Site Characteristics

Four schools were selected, according to the eligibility criteria discussed in the previous chapter, to serve as intensive sites. Each school was located in an urban district in widely separate geographical locations, offered a comprehensive curriculum, and demonstrated enrollments of at least 30 percent low-income and minority students. Student populations at each school ranged from 1,700 to 2,000, serving ninth through twelfth grades, and in other ways were typical of urban high schools. Each school had minority enrollments of differing ethnic and racial composition. In terms of low-income enrollment, as stated, when schools were selected it was believed that all four sites met this criteria. It was subsequently discovered that at one school, Site C, there was only 20 percent low-income enrollment.

What follows are brief descriptions of the four intensive sites, with Table III-1 displaying the above characteristics for each school within the context of similar information for each of the school districts.

Outcomes

Intensive Sites were selected according to two school performance outcomes: scholastic achievement (for reading and mathematics), and attendance. These outcome measures, as well as other relevant data, were aggregated for a three-year period to ensure that each school displayed sustained high performance and did not represent a "turn around" school. Because of the unavailability and inconsistency of

SITE A

SITE A is the oldest high school in the city. Because it was the only high school until the 1940s, many of the city's leading citizens--e.g., past or present mayors, heads of the city council, and heads of the school board--graduated from the high school. In addition, the school is located in the most affluent section of the city; being near a local university, the school also draws students from the university's staff. However, due to court-ordered bussing and the fact that the school draws from other neighborhoods besides this affluent one, the student population is racially and economically diverse.

SITE A occupies a school building that is considered an institution and landmark in the city. The building's age is celebrated rather than a target of complaints. The school has a strong parent advisory council, which, however, is primarily representative of the white parents from the affluent neighborhood (only 4 to 5 of the 52 members of the council are black). This group helps create high expectations for academic standards and an emphasis on preparation for college. Although the larger group of parents is generally informed about school activities, the school has no active parent-teacher association.

SITE B

SITE B was always considered an elite school, attracting academically oriented students. This reputation has been maintained, even though the school is part of widespread bussing in the district, requiring every school to fall within 15 percent of the district-wide proportion of minority students. (In fact, the racial composition of the city's high schools is virtually identical as a result of the bussing.) The school's goal and tradition has been to be "first" in the district in everything. The "firsts" are compiled in a fact sheet and given significant attention by the staff and student body.

SITE B's building is 50 years old and extremely well-kept. The parent-teacher association has 350 members, of whom about 95 are active; this unit was named the outstanding PTA in the state in 1982-1983. The school also has a community council that emphasizes school-community relations, and two-way communication including a recent poll taken by the school to determine ways in which the school can serve as a resource to the community.

SITE C

SITE C is considered the district's flagship school, drawing from stable and affluent as well as low-income neighborhoods in the city. The student body includes the children of leading public officials. The attendance area is largely non-white, as many of the white students are bussed from other sections of the city in order to achieve racial balance (the bussed students comprise about 20 percent of the students).

SITE C occupies a building that is distinctive and considered a city landmark. The school has a reputation for its college preparatory program, and it has an active parent committee that, among other things, had a voice in selecting the recently-appointed principal.

SITE D

At one time, SITE D was the most prestigious, affluent, and largely white-dominated school in the city. Currently, SITE D has an overwhelming non-white population, including a large number of minority students from middle class, professional, and upwardly mobile families--e.g., children of the newly-elected and outgoing president of the school board. The attendance area contains beautiful homes, recently purchased by Hispanic families, and contains a subset of high-income census tracts. The boundaries do include a diversity of neighborhoods, reflecting the attainment of desegregation goals in 1970.

SITE D occupies a historic, beautiful building that has been the pride of the school system for 50 years. The staff and students worked to have the building declared a historic site, which also was an effort that received wide recognition in the city. The school has had a record of outstanding principals and teachers, in part a result of recommendations by the district personnel office. There is no apparent active degree of parental or community involvement in the school, but SITE D has a special reputation and an unstated expectation that good things are expected of it and from it.

Table III-1

CHARACTERISTICS OF FOUR INTENSIVE SITES

Characteristics	A		B		C		D	
	School	District	School	District	School	District	School	District
Region of Country	Southeast		Midwest		West		Southwest	
Urban Population	250-300,000		700-800,000		400-500,000		700-800,000	
No. of Students	1,775	35,650	1,674	53,264	1,903	60,273	2,226	59,263
Grades Served	9-12	K-12	9-12	K-12	9-12	K-12	9-12	K-12
Racial/Ethnic Composition:								
• White	42%	38%	64%	66%	52%	39%	13%	10%
• Black	54%	58%	36%	34%	32%	23%	3%	15%
• Hispanic	--	--	--	--	8%	34%	84%	75%
• Other	4%	4%	--	.7%	8%	4%	--	--
Low-income Students	35%	67%	30%	65%	20%	26%	31%	74%

data on the other dep dent variables, the test for exemplary perfor-
mance was limited to e two stated outcomes. However, the data for
the other variables w e collected and examined closely before being
discarded. Some of t reasons for this discarding were as follows.

For each of the asures, variations in reporting within and
across districts crea d problems of comparability. Data were gener-
ated by schools, usin a wide range of methodologies, thereby creating
large discrepancies i the data's representational value. For example,
for minimum competenc test scores, which were identified as an indica-
tor of the degree of cial functioning, not all school districts ad-
ministered such a tes and, in those cases where tests were adminis-
tered, the actual tes given was different in each district. As
another example, data ad been collected on suspension/expulsion rates
as an indication of s ool climate and classroom behavior. The report-
ing of these figures ried. One school had a three percent rate based
on one method of reco ing, another district, using a different method,
reported a 31 percent ate, although the school climate could be
described by investig ors as equally positive at both schools.
Finally, the closest asure of future employment on which data could
be collected was enro ment in vocational educational programs,
although there is no ear linkage between enrollment in such programs
and job acquisition u n graduation.

The results of d a collection efforts in the four intensive
sites, in terms of pe ormance, may be summarized as follows (see Table
III-2 for performance ata for the intensive sites):

- Scholast Achievement: Over a three-year
period, 1 four schools performed better than
their re ective district averages. Sites A,
B, and C isplayed scores that were ten percen-
tage poi s higher than the 50th percentile.
Site D w ranked only at 53rd percentile.

- Attendan : Site A and B demonstrated atten-
dance ra s below 90 percent with scant devia-
tion fro district averages. Sites C and D
displaye rates above 90 percent, slightly

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Table III-2

PERFORMANCE SCORES FOR FOUR INTENSIVE SITES

Type of Score	Site A School	Site A District	Site B School R	Site B School M [b]	Site B District R	Site B District M	Site C School	Site C District	Site D School	Site D District
Student Achievement:										
1981-82	59 [a]	51	-	-	-	-	68 [c]	51	53 [d]	43
1982-83	56	50	11.5	11.4	10.7	10.6	62	52	55	41
1983-84	64	58	12.1	12.2	11.4	11.4	66	58	53	44
Average Daily Attendance:										
1981-82	86	91	88		88		89	87	92	92
1982-83	84	92	88		91		91	88	93	92
1983-84	88	87	87		91		91	90	93	92
Annual Dropout Rate:										
1981-82	16	14	17		17		9	11	17	11
1982-83	14	15	14		16		9	10	8	11
1983-84	14	12	16		16		10	11	10	11
Percent to Postsecond:										
1981-82	-	-	37		34		62	54	-	-
1982-83	-	-	39		38		63	52	60	48
1983-84	63	73	39		35		61	50	60	50
Enrollment in Voc. Ed.:										
1981-82	-	-	All Stud.				-	-	24	34
1982-83	74	75	"		"		-	-	22	34
1983-84	63	77	"		"		-	-	21	34
Passing Min. Comp.:										
1981-82	99	95	No such tests				-	-	76	61
1982-83	98	96	"		"		-	-	77	70
1983-84	98	98	"		"		-	-	74	65
Suspens./Expul. Rate:										
1981-82	-	-	29		29		-	-	3	-
1982-83	29	54	31		35		-	-	3	-
1983-84	-	-	30		31		-	-	3	3

[a] SRA Composite percentile, 11th Grade.
[b] Iowa TAP grade scores, 11th Grade.
[c] CTBS Composite percentile, 11th Grade.
[d] MAT Composite percentile, 11th Grade.

better than their district averages. Information on all schools was consistent for the three-year study period.

- Dropout Rates: All four schools reported rates above ten percent and close to the same as district averages.

- Post-Secondary Enrollment: In this category, Sites A, C, and D had over sixty percent of their graduates attending a two- or four-year college. For Sites C and D, this represented a higher percentage than their respective district averages. Site B reported that approximately 40 percent of graduates enrolled in post-secondary institutions.

- Enrollment in Vocational Education Programs: Only Site A reported an enrollment over 40 percent, while Site D students were enrolled in lower proportions than the district average. No data were available for this measure for Sites B and C.

- Minimum Competency Testing Scores: Site A met but did not exceed district average testing scores. Site D had a higher number of students passing some type of competency test than district-wide norms. No such tests were administered in Sites B or C.

- Suspension and Expulsion Rates: Only Site D exhibited a rate below five percent. However, this rate was identical with the district average. While Sites A and B had rates higher than five percent, the rate for Site A was disproportionately lower than the district average. No data were available for Site C.

Summary of Intensive Site Outcomes

To summarize the above performance measures, it can be suggested that none of the schools are ranked at the extreme of truly exemplary outcomes, even though all four schools achieved high levels of performance on certain measures. At the same time, because data were examined for a three-year period, the schools were beyond the improving category, demonstrating sustained performance over a period of time. Such mixed outcomes are to be anticipated, given the limited nature of

the prior screening that was possible, as well as the fact that no single school may indeed demonstrate exemplary performance simultaneously for all outcomes.

The non-exemplary nature of the performance should be assessed according to two relevant facts: 1) in comparison to their suburban counterparts, urban high schools do indeed operate at lower levels of performance; and 2) in comparison to their respective district averages, the four intensive sites were not the best performing sites on all seven outcome variables. Nevertheless, these schools displayed the highest performance within each of the urban districts, when judged in terms of the earlier stated criteria for selecting the sites: a 30 percent minority and low-income enrollment (with an exception to be discussed later in this chapter); absence of admissions requirements; and offering a comprehensive curriculum.

B. Focused Sites

Site Characteristics

Similar to the intensive sites, the four focused sites were located in different regions of the country in cities of varying sizes. Focused Site A, located in the northwest, was categorized as a high turnover community with a strong influx of minority (mainly Asian) residents. Site B was located in the northeast and reflected a stable majority (white) and native English speaking population. Site C represented a stable, minority community (black, Hispanic, and other) in the western part of the country. Site D, situated in the midwest, reflected a stable majority community, according to the typology earlier presented. Two of the focused sites served grades 9-12, one site 7-12, and another 10-12, with student enrollments ranging from 1,400 to 2,300. All four focused sites represented a percentage of minority students above 30 percent with considerable variation in racial and ethnic composition. All served above 30 percent low-income students. Profiles are given in Table III-3 for each focused site in the context of its district.

Outcomes

Based on problems encountered in the intensive sites, data collection was limited to the measures on which data were most readily available, i.e., scholastic performance, attendance, dropout rates, and post-secondary enrollment. Again, due to variations in the schools' collection and reporting of data, only two key outcomes considered for three consecutive years--scholastic achievement and attendance--were used in the final determination of school exemplariness. Performance outcomes are summarized according to these two measures:

- Scholastic Achievement: All four sites displayed outcomes above the 50th percentile; all but one surpassed its district average. However, only Sites C and D met the more stringent criterion of achievement test scores above the 60th percentile.

Table III-3

CHARACTERISTICS OF FOUR FOCUSED SITES

Characteristics	A		B		C		D	
	School	District	School	District	School	District	School	District
Region of Country Urban Population	Northeast 295,000		Midwest 751,000		Northwest 460,000		West 531,000	
No. of Students Grades Served	2,360 7-12	32,348 K-12	1,435 10-12	73,020 K-12	2,141 9-12	22,434 K-12	1,688 9-12	44,000 K-12
Racial/Ethnic Composition:								
• White	55%	50.4%	68.5%	69.5%	19%	8.6%	18%	21%
• Black	39%	36.8%	29.2%	24.6%	39%	36.7%	53%	52%
• Hispanic	4%	10.0%	1.4%	4.4%	31%	30.3%	4%	4%
• Other	2%	2.8%	.9%	1.4%	11%	24.4%	25%	23%
Low-income Students	33%	30.2%	39%	66.1%	32%	29%	32%	29%

- Attendance: Only one site (Site A) reported attendance rates above the 90 percent. All sites, however, equaled or bettered their repective district averages.

Table III-4 displays the information relevant to the two outcome measures for each of the focused sites.

Summary of Focused Site Outcomes

In summary, similar to the intensive sites, none of the schools had truly exemplary outcomes, although all four schools achieved high levels of performance in relation to other urban, comprehensive schools. Again, the data for the focused sites were collected for a three-year period, demonstrating that all of the sites had sustained performance and were not "turnaround" schools.

Table III-4

PERFORMANCE SCORES FOR FOUR FOCUSED SITES

Type of Score	A		B		C		D	
	School	District	School	District	School	District	School	District
Student Achievement:								
1981-82	56.8 [a]	51.2	49.2 [b]	39.7	60.5 [c]	63.4	No Data Available	
1982-83	55.1	44.8	51.5	40.2	64.9	65.6	"	"
1983-84	55.5	43.8	53.0	38.0	63.0	65.0	64.0	61.0
Average Daily Attendance:								
1981-82	85.3	86.0	81.0	73.7	88.3	89.0	No Data Available	
1982-83	86.0	86.6	80.4	75.3	90.6	90.4	87.0	"
1983-84	86.5	86.7	81.7	74.8	92.3	91.1	89	"

Indicators:
[a] MAT Composite percentile, 10th and 11th Grade.
[b] CTBS Reading percentile, 11th Grade.
[c] California Survey of Basic Skills percentile, 12 Grade.
CAT Composite Score percentile, 10th Grade.

C. Interview Sites

Site Characteristics

As for the interview sites, 32 schools were selected in 16 cities, on the basis of the core eligibility criteria, as noted earlier. Data on school outcomes was not part of the selection process for interview sites, but was collected during site visits. The 32 schools were located in cities of varying size and in widely dispersed locations. Each of the community types in the typology described earlier was represented among the interview sites, as shown in Table III-5. Also displayed are the variation in racial and ethnic composition of the sites in terms of percentages of all sites. School enrollments were divided into three categories: below 1,400 students (37 percent); between 1,400 and 2,100 (28 percent); and over 2,100 students (22 percent). Three percent of the schools did not meet the criteria for low-income enrollment.

Outcomes

For the 32 interview sites, the data collected on school outcomes were limited to: achievement test scores (mathematics and reading) and attendance. These were considered the major dependent variables of the subsequent analysis.

Achievement Scores. As with the data from the first two groups of schools, achievement scores for this third group could be reported in any of three ways--i.e., on the basis of: grade equivalent scoring, percentile scoring, or normal curve equivalents on some norm-referenced national test. Whichever the type of score, a school's performance was first assigned to decile rankings, based on the scores from the Ford Program pool of schools.

The decile rankings, in turn, were then collapsed into three categories. For mathematics, the three highest deciles were ranked "high;" the two middle deciles ranked "medium;" and five lowest deciles ranked "low." (The variation in definition between mathematics and reading was due to the desire to have a more equal distribution of scores among these three categories.)

Table III-5

DESCRIPTION OF INTERVIEW SITES

(32 Schools)

Student Enrollment	
0 - 1400	37%
1401 - 2100	41%
2101+	22%
Racial/Ethnic Composition	
% Black	
0 - 29	31%
30 - 59	28%
60+	41%
% White	
0 - 29	69%
30 - 59	28%
60+	3%
% Hispanic	
0 - 29	75%
30 - 59	9%
60+	16%
Low-income Students	
0 - 29	3%
30 - 59	53%
60+	44%

It is important to note, however, that this definition of the three categories, "high," "medium," and "low" did not mean that the schools ranked "high" had achieved the same degree of exemplary outcomes as had the intensive and focused sites. As discussed earlier, with those schools, the achievement levels had to be about the 90 percent level of all schools in the Ford Program pool to be considered exemplary; with the cutoff points used here, the cutoffs were 70 percent and 60 percent respectively for mathematics and reading.

Table III-6 shows the resulting definitions of these three categories, according to the original test scores, for each of the three types of scores. This table illustrates a continuing theme in all of this study's findings: that comprehensive, low-income urban schools rated "high" still fall below average (or only slightly above average) in relation to school performance nationally. For instance, the "high" category for the grade equivalent scores was defined by the following ranges:

- For tenth grade reading, 8.9 to 10.0;
- For tenth grade mathematics, 9.5 to 10.2;
- For eleventh grade reading, 9.6 to 10.5; and
- For eleventh grade mathematics, 10.2 to 11.0.

Thus, only for tenth grade mathematics was some part of the range above grade-level; for the other three ranges, the top scores were at or below grade levels. Similar conclusions are reached by noting the basis, in Table III-6, for defining the "high" category with either the percentile scores or the normal curve equivalents.

As a result of this poor performance, the analysis of the data from the interview sites was conducted, but considered strictly of an exploratory nature only. A more desirable pool of schools would be ones where the variations in outcomes included some schools whose performance were comparable to those of the intenstive and focused sites.

Table III-6

DEFINITIONS OF THREE CATEGORIES,
BY TYPE OF SCORE

Category	Grade Level Equivalents				Percentile Scores				Normal Curve Equivalents			
	Grade 10		Grade 11		Grade 10		Grade 11		Grade 10		Grade 11	
	Read.	Math.	Read.	Math.	Read.	Math.	Read.	Math.	Read.	Math.	Read.	Math.
High	8.9-10.0	9.3-10.2	9.6-10.5	10.2-11.0	45-49	46-51	38-48	48-51	48-50	52-54	49-55	52-56
Medium	8.5-8.8	8.7-9.2	9.0-9.5	9.5-10.1	28-44	28-45	22-37	32-47	35-47	34-51	35-48	41-51
Low	8.0-8.4	8.0-8.6	8.3-8.9	8.5-9.4	18-27	15-27	12-21	14-31	14-34	14-33	14-34	22-40

Attendance Scores. For the attendance data, three categories also were created, based on a school's absolute attendance score. Schools whose attendance was between 91 and 100 percent were categorized "high;" between 87 and 90.9 percent categorized "medium;" and between 79 and 86 percent categorized "low." Based on these categories, the "high" category corresponded to the exemplary outcome level used for the intensive and focused sites. Fourteen of the 32 interview sites were categorized as "high" (see Table III-7).

Relationships Among Dependent Variables. Table III-7 gives the frequency distribution of responses for the three dependent variables (mathematics achievement, reading achievement, and attendance). In this case, because the data were based on reports from the districts, and not the interviews with the five informants in each school, the distribution is given for the number of schools, not the number of interviewees.

The data in Table III-7 show the evenness of the resulting distributions, thus providing the balanced variation desired for later comparison to different school practices. In addition, the table shows that achievement data could not be obtained for four schools, and attendance data were missing for two schools. Finally, pairwise analyses of these three dependent variables indicated that the variables were highly correlated, although, as shall be discussed in Chapter V of this report, the school practices related to each dependent variable still differed considerably.

Summary of Interview Site Outcomes

As stated earlier, none of the outcomes from the interview sites were as exemplary as the intensive sites and focused sites. However, it was decided to report the data from the interview sites and analyze the results in relation to excellence theory and to district policies. Even though such analysis has to be considered exploratory only, this was seen as a better alternative than disregarding the results from these sites entirely.

Table III-7

FREQUENCY DISTRIBUTION OF SCHOOLS,
BY CATEGORY OF DEPENDENT VARIABLE

	Dependent Variable		
	Achievement Tests		
Category	Reading	Math	Attendance
High	12	11	14
Medium	9	7	7
Low	7	10	9
No data	4	4	2
Total	32	32	32

D. Elimination of Sites, Based on Performance Outcomes

Initially, the practices and outcomes at all four intensive sites were analyzed. For instance, Appendix D shows the frequency and nature of practices found according to excellence theory (the procedure for doing this analysis is presented in Chapter V). A similar analysis, not reported here, was done for practices under effectiveness theory.

The analysis showed little support for the existence of the practices predicted by excellence theory (a similar conclusion was reached for effectiveness theory), and these results were interpreted as a negative conclusion and reported as such at the study's advisory panel meeting in March 1986. However, further analysis indicated that this negative conclusion was mainly based on two schools (Site C and Site D), but not the other two others. Further investigation revealed that one of these two negative sites had been one whose proportion of low-income students had not met the study criteria, and a general sense by the field teams that both schools had strong students and talented teachers--so that management practices were not relevant to the performance outcomes. However, the field teams also felt that both schools could have been substantially better, had the desirable practices been in place. Yet further investigation revealed that the second of these negative schools displayed achievement test scores at only the 53rd percentile, whereas the two positive schools both displayed scores above the 60th percentile.

As a result of these analytic observations, an alternative analysis was conducted, in which the data from Site C and Site D were dropped. This alternative provides the reader with a choice. If all four schools are retained, the general conclusion is that no set of management practices appears to be related to exemplary performance (see Appendix B). If, however, one accepts that schools having distinctive students or teachers also can be managed to produce even better performance, the alternative analysis may be considered relevant, with attention placed on the two higher performing intensive sites. Moreover, the same criterion of scholastic achievement used

with the intensive sites was then applied to the focused sites. Based on this criterion of achievement test scores above the 60th percentile, focused sites A and B also were eliminated from further analysis. Two focused sites (C and D) had test scores above the 60th percentile, and thus the findings reported from the focused sites throughout this report are based on focused Site C and Site D.

IV. SCHOOL EFFECTIVENESS THEORY AND URBAN HIGH SCHOOLS

A. School Effectiveness Theory

Background

School effectiveness theory emerged as a body of knowledge in the late 1970s, based on a re-igniting of interest in identifying school conditions that might lead to improved student performance. Such interest had been dampened by earlier research, especially the findings from the Coleman report, suggesting that schools did not "make a difference"[1] and thus that school conditions were not worthy of further attention. However, continued observations about differences in practices among schools, as well as concern over the needs of inner-city minority students--some of whom seemed to be doing better than others, depending upon the school they attended--led to a re-focusing of attention on whether school practices might be important to student performance.

The resulting "effective schools" research began to identify various administrative and instructional conditions associated with distinctive student performance. For example, Rutter's study isolated recurring features of inner-city schools (in Great Britain) where low-income students performed as well as public school students in other areas.[2] Similarly, case studies of minority-dominated schools in American cities began to reveal certain conditions or characteristics of effective schools.[3] The number of case studies became so numerous that, by the early 1980s, other analysts were able to synthesize the results and to develop generalizations covering the earlier studies.[4] These generalizations have become the main body of knowledge now considered to be the contribution of school effectiveness research.

Features of Effective Schools

Although most of the research had been based on case studies of individual schools, the generalizations have largely dealt with a set of common features or characteristics of effective schools (rather than

with any typology of schools or other approach that would have preserved the "whole" aspect of a school). The features or characteristics have been treated as correlates of effective schools.

Elementary Schools. Because nearly all of the school effectiveness research had been done in elementary school settings, the initial list of correlates pertained to the elementary level. Five correlates were recognized as being the most important:[5]

- Strong principal leadership;
- A safe school climate conducive to learning;
- A curriculum emphasizing the basic skills;
- Teachers with high expectations for all of their students; and
- A system for monitoring and assessing student performance.

Such a list has not been identical from source to source, however. For instance, a recent re-analysis of the older case studies resulted in a three-fold list of discipline, leadership, and structured attention to the basic skills;[6] yet other lists might add a component consisting of parent involvement.[7]

Secondary Schools. Regardless of their degree of stability, these earlier lists of correlates all pertained to elementary schools. When public attention turned to the high school level and the "high school reform movement" described in Chapter I of this report, this limitation in the earlier school effectiveness research became genuinely evident, leading analysts to attempt to integrate school effectiveness theory with the problems and administration of urban high schools.[8] However, little actual research, using the tenets of school effectiveness theory but involving case studies of urban high schools, has ensued.

In the absence of direct empirical evidence, efforts were nevertheless made to translate the correlates of school effectiveness theory

from elementary to high school settings. In particular, the Charles F. Kettering Foundation sponsored a program that re-synthesized the available literature, creating a list of 14 correlates of effective high schools (the first five were a repetition of the main correlates for elementary schools):[9]

1. The principal as an instructional leader;
2. A safe, orderly school climate;
3. An emphasis on basic skills;
4. Teachers with high expectations for the achievement of all students;
5. A system for monitoring and assessing school performance;
6. The pronouncement of clear academic goals;
7. A sense of teacher efficacy over the conduct of the school;
8. The existence of rewards and incentives for individual teachers and students;
9. The development of community support for the school;
10. Concentration on academic learning time;
11. Emphasis on frequent and monitored homework;
12. A coordinated curriculum;
13. The use of a variety of teaching strategies; and
14. Opportunities for student responsibilities in school affairs.

This list of correlates was then used as criteria by the U.S. Department of Education in 1982-84, to carry out a high school recognition

program, with those schools best meeting these 14 criteria being given special recognition by the department.

Testing School Effectiveness Theory as a Starting Point for the Present Study

School effectiveness theory, as reflected by this list of 14 presumed correlates of effective high schools, was used in this study as a starting point for designing and analyzing the data from our two eligible intensive sites. (As pointed out in Chapter III of this report, two of the four intensive sites were later discarded because one failed to meet the low-income eligibility criteria and the other failed to meet the excellence criteria.) What was sought at each of these intensive sites was evidence of school practices or conditions that matched the 14 correlates. In other words, the data collection protocol called for the field research teams to ascertain whether the predicted practices were present at the intensive site or not. This judgment was based on the convergence of interview, observational, and documentary evidence, and not on any single source of evidence.

The analysis was viewed as an important starting point for our study because little if any previous research had actually tested the school effectiveness correlates with data from the high school level. Thus, the analysis presented an opportunity to investigate empirically the relevance of the theory to high schools (a test presumed positive by the use of the 14 correlates in the U.S. Department of Education's high school recognition program). To the extent that the theory was found relevant, the study would provide the groundwork for extending it to cover high schools.

The next section reports the results from the two intensive sites. In general, nearly all of the correlates of school effectiveness theory were corroborated, but even such extensive corroboration failed to produce a convincing argument that the key ingredients of exemplary urban high schools had indeed been explained. A discussion of this problem and its implications concludes the present chapter.

B. Findings from Intensive Sites

General Pattern

The frequency with which practices or conditions matching the 14 correlates were found at each of the two intensive sites is summarized in Table IV-1. The table shows that for only two correlates (Nos. 3 and 14) were the predicted practices or conditions not found; for one other correlate (No. 4), the conditions were questionable at one of the sites; and for a fourth correlate (No. 11), no information was collected. Overall, therefore, the frequency with which the correlates or school effectiveness theory were corroborated at the two intensive sites did provide some initial, empirical evidence in support of the theory.

Correlates That Were Not Corroborated

Three of the fourteen correlates were not confirmed. The reasons for this lack of confirmation are as follows.

Emphasis on Basic Skills. First, the conditions were questionable at both sites with regard to any emphasis on basic skills (No. 3). At Site A, the curriculum was in fact highly diverse, with few core requirements. As a result, students could and did take a variety of courses without clear emphasis on basic skills. Similar diversity was found at Site B, and at both sites the diversity of courses was considered a strength of the schools (especially compared to other schools in the same districts). The reason that these conditions were regarded as questionable rather than negative was that "basic skills" is generally a segment of the curriculum in elementary schools; what might serve as the counterpart in comprehensive high schools is not readily establishable, given the mixture of college-bound and non-college bound students.

Opportunities for Student Responsibilities in School Affairs. Second, both Sites A and B showed little evidence of opportunities for student responsibilities in school affairs (No. 14). This was true even though the student councils at both sites were active (the one at

Table IV-1

FREQUENCY WITH WHICH 14 CORRELATES
OF SCHOOL EFFECTIVENESS THEORY WERE FOUND,
AT TWO INTENSIVE SITES

Correlate	Relevant Practice Found at: Site A	Site B
1. The principal as an instructional leader	Yes	Yes
2. A safe, orderly school climate	Yes	Yes
3. An emphasis on basic skills	?	?
4. Teachers with high expectations for the achievement of all students	No	Yes
5. A system for monitoring and assessing school performance	Yes	Yes
6. The pronouncement of clear academic goals	Yes	Yes
7. A sense of teacher efficacy over the conduct of the school	Yes	Yes
8. The existence of rewards and incentives for individual teachers and students	Yes	Yes
9. The development of community support for the school	Yes	Yes
10. Concentration on academic learning time	Yes	Yes
11. Emphasis on frequent and monitored homework	no evidence collected	
12. A coordinated curriculum	Yes	Yes
13. The use of a variety of teaching strategies	Yes	Yes
14. Opportunities for student responsibilities in school affairs	No	No

Site B met daily and had an office as part of the school's administrative suite). The activities, however, were directed at traditional student functions--e.g., homecoming, sports assemblies, and alumni activities--rather than at any decisionmaking involving the curriculum, instruction, or even discipline policies. This type of activity was not considered reflective of the essence of this correlate, and therefore the results were considered negative.

Teachers with High Expectations for the Achievement of All Students. Third, teachers at Site A did not have high expectations for the achievement of all students (No. 4). Although the school was oriented toward academic achievement and maintained a strong academic reputation, the curriculum and teaching staff catered to the top students. In part, this resulted from a very strict promotion policy on the part of the school district, which made it difficult for students to progress beyond the ninth grade without passing a minimum performance criterion; not surprisingly, many students had to repeat their ninth grade enrollment, and in fact about 50 percent of the students in the whole school were enrolled in the ninth grade.

Correlates That Were Corroborated

Examples of practices or conditions were found at both sites for all the remaining correlates. The practices or conditions may be illustratively described as follows.

Principal As Instructional Leader. At Site A, the principal made frequent classroom observations, had his own special interest in some parts of the curriculum (e.g., writing), and provided guidance to teachers on: sound lesson planning, the degree of student involvement in classroom activities, and the questioning techniques used by the teacher. At Site B, the principal also made suggestions to teachers about instructional tactics--e.g., encouraging the use of short answer rather than essay tests--taught his own algebra class, and maintained currency on curriculum research and visits to innovations located at other schools. Both principals played substantial roles in recruiting and hiring the faculty, although both also worked closely with their department heads on these matters.

Safe, Orderly School Climate. Both schools had strong traditions of maintenance of order in school behavior and a positive school climate.

System for Monitoring and Assessing Student Performance. Both sites made ample use of student testing, analyzing the results for feedback to teachers and departments. At Site B, the district had even standardized the departmental tests.

Pronouncement of Clear Academic Goals. Both sites were strongly oriented toward academic achievement. At Site B, the district had specified general goals as part of its five-year plan; the school then set specific targets for each of these goals--e.g., increasing attendance from 85 to 90 percent--mainly through the departments and department heads. At the end of the year, the principal and department heads then assessed how well the goals had been achieved.

Sense of Teacher Efficacy over the Conduct of the School. This correlate of school effectiveness theory was present at both sites. Site A had strong intra-department communications, with each department having its own room and individual offices that were frequently used. The teaching staff had a district-wide reputation for making innovative suggestions and contributions to the curriculum. Similar meetings and activities, including an active teacher center and daily planning periods, were present in Site B.

Existence of Rewards and Incentives for Teachers and Students. Recognition and reward programs were extensive for both teachers and students at both sites. At Site A, the district made "teacher of the year" awards and the school made "teacher of the month" awards, as but two examples. At Site B, **Vignette No. 1** describes in greater detail the activities for teachers. For students, Site A emphasized competition and awards for academic subjects as well as sports. The site initiated special events, such as an honors banquet, at which to accentuate student recognition even further. At Site B, **Vignette No. 2** describes some of the prevalent activities.

Vignette No. 1

RECOGNIZING AND REWARDING TEACHER INITIATIVES

Both district and school recognize teachers for their efforts. At the district level, a "Teacher of the Year" competition is held and each school nominates one of its teachers to compete. A district-sponsored dinner is given in honor of the winners, and each receives a plaque and small cash award to purchase supplementary classroom materials.

At the school level, teachers are recognized both formally and informally by the principal. Teachers with perfect attendance are given $25 gift certificates, as reinforcement for both teachers and students regarding the importance of good attendance (sixteen such certificates were given in 1984-85). The principal also acknowledges professional successes by writing personalized notes to teachers. The teachers view these notes as expressions of genuine interest and appreciation for their work.

A further incentive for teachers is a district-sponsored program in which teachers are selected from each of the high schools to function as "helping teachers." These teachers are assigned to work under the direction of the subject area coordinators and provide technical assistance to elementary and secondary teachers. The "helping teachers" receive a stipend in addition to their salary and are given the opportunity to share their expertise with teachers from across the district.

These district and school efforts are aimed at providing teachers with opportunities to use their accomplishments.

Vignette No. 2

RECOGNIZING STUDENT PERFORMANCE

"High Expectations," a term often used by the superintendent, sets the tone for activities in one high school. The principal, following the district's lead, places a strong emphasis on achievement and communicates this both to teachers and students. Individual teachers are sources of high expectations--they set their own standards and spend time discussing how to motivate students to excel.

Numerous reinforcements exist in the school, emphasizing and highlighting student achievement. Students are encouraged to enter a variety of contests--art, music, poetry--and any time a student receives an award for scholarship, it is mentioned on the public address system during the daily advisory period. Recognition is not limited to academic accomplishments--activities may emanate from vocational programs as well. There is a "de rigeur" awards assembly at the end of the school year, during which academic, as well as other types of awards, are presented. This school-based event, aptly name "Peterson on Parade," instills pride and enthusiasm in both students and faculty.

Further incentives are provided in the form of eligibility requirements for extracurricular activities. Students are not permitted to run for student council or for class office, or to participate in selected extracurricular activities unless they maintain a certain grade point average. The presence of a National Honor Society chapter reinforces the emphasis on academic achievement.

Participation in competitive sports is also valued and recognized. The principal strongly believes that each student should have the opportunity to find a sport that he/she can enjoy and master. He draws the comparison among offering a diversity of courses, providing a selection of sports, and encouraging students to enter contests. In his words, "they all help students to find their unique excellence.

The Development of Community Support for the School. Both sites appeared to be exemplary in this manner. At Site A, the principal was well-connected with related institutions, even recruiting new staff from the surrounding colleges and universities. Moreover, the site was considered the flagship school in the city, with the children of key public officials having matriculated at the school and therefore reinforcing the importance of the school in community affairs. Site B undertook other specific initiatives, and these are the subject of **Vignette No. 3.**

Concentration on Academic Learning Time. At both sites, the district and school have passed regulations regarding the amount of class time. At Site A, the emphasis is on time on task, and the district and school tolerate few interruptions of classes by public announcements or monitors from the central office. In addition, the assistant principals consider one goal to be relieving the teaching staff of administrative burdens. At Site B, the district recently increased class time to 55 minutes, eliminating pep rallies and home rooms. Public address announcements are limited to one per day.

Emphasis on Frequent and Monitored Homework. No data were collected regarding this correlate. Although the fieldwork included interviews with teachers and observations of numerous classroom activities, no specific practices were found that encouraged homework, and the actual frequency of such homework was not assessed. At the same time, the subjective judgment at both sites was that homework was extensive and considered important in most classes.

A Coordinated Curriculum. Both sites are known for having diverse and innovative curricula. The curricula were coordinated, however, in the sense of having sequencing of courses and substantial prerequisites for certain courses.

Use of a Variety of Teaching Strategies. Teacher innovations in the curriculum are encouraged and recognized at both sites. Site A has a district-wide reputation for developing innovative courses; Site B has departments that act like small academic colleges, encouraging teacher initiatives. For example, the principal at Site B encourages teachers to apply for external grants to develop new curricula.

Vignette No. 3

BUILDING COMMUNITY SUPPORT

Parents and community members play a key role in supporting efforts in this high school. The school boasts the most active School Improvement Committee in the district. Its parent members are representative of the school's diverse population and are vocal in their ideas and recommendations for change. During the school year, the Committee actively pursues several designated school-wide goals, determined through a yearly needs assessment conducted by the Committee with parents, students, and teachers.

The Parent-Teacher School Association is another source of community support. Considered energetic when compared to the other associations in the district, this association is involved in fundraising activities and has a grants committee securing external monies. A recent activity undertaken by the group was the purchase of a video recorder for the school. In addition, they have sponsored a computer symposium for the city and hosted potluck dinners for interested parents to meet teachers from each of the departments.

The voice of the parents and community is heard by the principal and other administrators. Parental interest and involvement in school decisions is taken seriously. High expectations are placed on the school by the parents to uphold its reputation of academic excellence and college preparation. This support results in a cooperative effort on the part of school administrators and parents to produce an environment in which students are encouraged to achieve and flourish academically.

C. Summary of School Effectiveness Theory

Preliminary Corroboration of the Theory. The evidence from the two intensive sites suggests that school effectiveness theory is probably applicable to the high school and not just the elementary school level. This is because most of the 14 correlates of school effectiveness theory, as presumed to be present at effective high schools, were found at the two intensive sites. The findings therefore offer preliminary evidence in support of the theory.

Nevertheless, any further attempt to corroborate school effectiveness theory at other sites was not given a priority in the remainder of our study. The theory, even if true, appears to have several shortcomings--a conclusion that was reinforced by the data collected from the intensive sites, because much of what made these high schools special was not being captured by the 14 correlates. The intensive sites appeared to have a multitude of organizational features--e.g., how a principal organized his administrative team into an effective unit--that were not reflected by the practices in school effectiveness theory. Thus, although the theory pointed to relevant instructional characteristics, it did not begin to address the managerial ones.

A general conclusion with regard to school effectiveness theory is therefore that it can be validly extended to the high school level. However, the theory does not appear to present a complete rendition of the conditions needed for exemplary performance at the high school level. Such conditions include:

- The principal as an administrative, and not just instructional leader;
- The role of assistant principals and the administrative leadership of the school;
- The role of departments and department chairpersons; and
- The diversity of student needs, services, and curricula found in comprehensive high schools.

An additional insight is that the desired student outcomes for high schools can involve not just academic achievement--e.g., going on to college--but also training for everyday adult life--e.g., going on to work or to have a family. Such multiple outcomes are not present at the elementary school level, in which academic achievement is indeed the only relevant outcome and for which an academically-oriented theory might be sufficient.

As a result of its thin coverage of the complexity of the high school, two choices were possible. First, school effectiveness theory could be expanded, to accommodate the missing conditions. However, this was not deemed desirable because the expansion was potentially so significant that the original characteristics of effectiveness theory could become overly distorted. Second, other relevant theories could be separately examined, to determine whether better coverage and insights might be obtained. This latter alternative was pursued in Chapter V, with the examination of excellence theory.

In summary, school effectiveness theory has to be considered as only a starting point for understanding how to produce comprehensive urban high schools with sustained exemplary performance. The next chapter discusses some of the other important conditions, not covered by school effectiveness theory, that must also be included in developing such an understanding.

NOTES TO CHAPTER IV

[1]Coleman et al., Equality of Educational Opportunity, National Center for Education Statistics, U.S. Office of Education, Washington, D.C., 1966.

[2]Michael Rutter et al., Fifteen Thousand Hours: Secondary Schools and Their Effects on Children, Harvard University Press, Cambridge, Mass., 1979.

[3]For example, see Ronald Edmonds, "Effective Schools for the Urban Poor," Educational Leadership, October 1979, 37:15-24; Ronald Edmonds and John R. Frederiksen, "Search for Effective Schools: The Identification and Analysis of City Schools That Are Instructionally Effective for Poor Children," Center for Urban Studies, Harvard University, Cambridge, Mass., 1979; Phi Delta Kappa, Why Do Some Urban Schools Succeed? The Phi Delta Kappa Study of Exceptional Urban Elementary Schools, Phi Delta Kappa, Bloomington, Ind., 1980; George Weber, Inner-City Children Can Be Taught to Read: Four Successful Schools, Council for Basic Education, Washington, D.C., 1971; and Wilbur B. Brookover, Effective Secondary Schools, Research for Better Schools, Inc., Philadelphia, Pa., 1981.

[4]For example, see Michael Cohen, "Effective Schools: Accumulating Research Findings," American Education, January/February 1982, 18:13-16; Michael Cohen, "Effective Schools: What the Research Says," Today's Education, April/May 1981; Joseph D'Amico, The Effective Schools Movement: Studies, Issues, and Approaches, Research for Better Schools, Inc., Philadelphia, Pa., October 1982; Michael H. Kean, Issues in Identifying Effective Schools, Educational Testing Service, Evanston, Ill., June 1982; Ernest E. Lohman et al., Effective Schooling in a Rural Context: A New Hampshire View, New Hampshire State Department of Education, Concord, N.H., 1982; and Stewart Purkey and Marshall Smith, Effective Schools - A Review, Wisconsin Center for Education Research, Madison, Wisc., 1982.

[5]Brookover, op. cit., 1981; Cohen, op. cit., 1982; Edmonds, op. cit., 1979; and Lohman et al., op. cit., 1982.

[6]Thomas R. Ascik, "Looking at Some Research on What Makes an Effective School," in Connaught Marsher (ed.), A Blueprint for Education Reform, Free Congress Research and Education Foundation, Washington, D.C., 1984.

[7]Mary Jordan, "'Effective Schools' Approach Spreads," The Washington Post, February 5, 1986, p. A4.

[8]For example, see William Firestone and Robert Herriott, Effective Schools: Do Elementary Prescriptions Fit Secondary Schools? Research for Better Schools, Inc., Philadelphia, Pa., June 1982; William

Firestone and Robert Herriott, "Prescriptions for Effective Elementary Schools Don't Fit Secondary Schools," Educational Leadership, December 1982; Kathleen Hoover-Dempsey and Susan J. Rosenholtz, "Effective Schools: A Second Generation Study," proposal submitted to the National Institute of Education, Vanderbilt University, Nashville, Tenn., April 1983; and John Ralph and James Fennessey, "Science or Reform: Some Questions about the Effective Schools Model," Phi Delta Kappa, June 1983, 64:689-694.

[9]See the description of this process in Larry Cuban, "Transforming the Frog into a Prince: Effective Schools Research, Policy, and Practice at the District Level," Harvard Educational Review, May 1984, 54:129-151.

V. MANAGING FOR EXCELLENCE IN ORGANIZATIONS: TESTING THE BUSINESS THEORY IN URBAN HIGH SCHOOLS

The preceding chapter investigated the relevance of school effectiveness theory in dealing with exemplary urban high schools. However, although the correlates of the theory were confirmed, the theory's inherent limitations created a need to look further afield, to explain how such schools could be produced in the future.

The main limitation was that, even though school effectiveness theory pointed to many educational conditions that were correlated with exemplary school performance, the theory was based on a narrow view of the urban secondary school as an organization--i.e., overlooking the administrative structures and functions of the school as a complex organization. In our data collection, this shortcoming revealed itself in the numerous activities that appeared important in the exemplary schools, but that were not addressed by the school effectiveness correlates. In partial anticipation of this result, our study included the examination of a second theory for potential hypotheses about exemplary urban high schools. Although this theory was not developed from educational settings, it had sufficient parallels to suggest its potential applicability to the urban secondary school. Moreover, the features of this theory filled many of the gaps left by school effectiveness theory.

A. Excellence Theory

Introduction

During the early 1980s, a provocative set of management concepts and findings was introduced by two analysts from a field other than education--i.e., business management. These ideas were put into a framework of "managing for excellence" by Thomas Peters and Robert Waterman, Jr., who suggested that firms with sustained excellent performance (measured by growth and income over a 20-year period) also appeared to share a common set of management practices. The ideas were so well received that the original book--In Search of Excellence[1]--

became a national bestseller, and the management practices drew sustained attention from administrators in many fields.[2]

The desirable practices were grouped into eight themes, and these themes and the illustrative management practices or actions representing each theme are listed in Table V-1. In general, the practices focus on how top management can keep a firm responsive to its customers and employees, as well as how the firm should be organized to avoid overly cumbersome structures.

Potential Applicability to Managing Schools

Despite the inexactness of the findings from the industrial sector, educators also reviewed the practices to determine the possible lessons for managing schools. The basic framework seemed analogous enough: Principals could be considered to be like chief executives, and schools like firms; students and parents could then be interpreted as the "customers" of the school. Given these basic parallels, exemplary practices in managing firms might suggest relevant counterparts for managing schools. As a result, many educators examined these parallels more closely,[3] although none of the efforts was based on specific, empirical tests.

The purpose of a major portion of our study was to undertake just such a test, and thereby to fill this void. On the surface, the eligibility criteria for the schools covered by our study coincided extremely well with the conditions in In Search of Excellence, and thus such an empirical test appeared eminently reasonable. In particular, three conditions prevailed.

First, the management practices in Peters and Waterman's book were based on their own research on 62 firms, covering a broad spectrum of businesses--e.g., high technology, consumer goods, general industrial goods, and general service businesses. Although the measure for excellence was that a firm had to exhibit sustained growth and income from 1961 to 1980 relative to other firms in the same industry, the criterion for inclusion was modest: A firm had to have been in the top half of its industry in at least four of the six outcome measures

Table V-1

ORGANIZING FOR EXCELLENCE:
EIGHT THEMES AND THEIR ILLUSTRATIVE ACTIONS
(Peters and Waterman, 1982)

A. HAVING A BIAS FOR ACTION

1. Get out of the office
2. Use small groups, for short periods of time, to produce changes (and not voluminous reports)
3. Foster experimentation, rather than extensive market research or planning
4. Foster experimentation in conjunction with lead users
5. De-emphasize paperwork; emphasize one-page memorandum

B. BEING CLOSE TO THE CUSTOMER

1. Assess customer satisfaction frequently (e.g, once a month in a large firm)
2. Discuss and confront client dissatisfaction quickly
3. Define firm as a service business, regardless of actual industry
4. Demonstrate obsession over quality of service to customer
5. Define success in terms of quality, with growth secondary
6. Blame everyone for quality failures; reward individuals for quality successes
7. Define customer service as more important than either technological advance or cost consciousness

C. MAINTAINING AUTONOMY AND ENTREPRENEURSHIP

1. Distinguish between creativity and innovation; support innovators; support innovators and pioneers
2. Focus on products, projects, and customers, not technical disciplines
3. Create new divisions in the organization rather than allowing existing ones to grow large
4. Foster an intense and wide variety of communication among employees (creates a competitive marketplace among employees)
5. Tolerate failure

Table V-1, continued

D. SUSTAINING PRODUCTIVITY THROUGH PEOPLE

1. Treat people (employees) as adults; as partners; with dignity
2. View employees as an extended family
3. Use labels that reflect above (e.g., "associate," "crew member," and "cast member," rather than "employee" or "worker")

E. BEING HANDS-ON, VALUE-DRIVEN

1. Have clear values and goals for the organization; most relevant values are qualitative ones, and inspire people at the very bottom of the organization
2. Maintain contact with the real working level of the organization

F. STICKING TO THE KNITTING

1. Keep organization close to the central skill, avoiding great diversification
2. Generate internal and home-grown growth, rather than growth through acquisition
3. Keep any acquisitions and diversifications on a small and experimental scale

G. CREATING SIMPLE FORM, LEAN STAFF

1. Avoid the matrix organization
2. Create divisions that are simple and functional--e.g., according to product
3. Have fewer administrators, more operators; even for large firms there is seldom a need for over 100 persons in the corporate headquarters
4. Maintain a flat organization
5. Keep scale small (small is beautiful)

H. HAVING SIMULTANEOUS LOOSE-TIGHT PROPERTIES

1. Give plenty of rope, but be a stern disciplinarian
2. Have flexible organizational structures, but rigidly shared values dealing with quality, service, innovation, and experimentation
3. Promote autonomy as a product of discipline
4. Balance short- and long-term planning
5. Stay simplistic and simple-minded in spite of the need to specialize

(three each for growth and income) over the full 20-year period. In all, the selected firms therefore had two features that directly paralleled our research design and selection of exemplary urban high schools:

- A diversity of organizations that had excellent but not elitist records, relative to their industries; and
- A persistence of high performance over a long period of time (and hence not "turnaround" situations).

A second important detail was that the 62 firms were deliberately selected to reflect the largest business firms across the country, and the findings therefore ignored the conditions of medium-sized or small businesses. According to the authors, their major goal was to investigate:[4]

> ...how big companies stay alive, well, and innovative. [Emphasis added.]

This focus on large firms also paralleled our selection of comprehensive, urban secondary schools--which inevitably focused our study on the largest cohort of schools in the country. Anyone familiar with the condition of urban high schools understands the special management problems created by their large size, and a relevant theoretical framework must explicitly recognize large size as a requisite condition.

Third, the practices in In Search of Excellence represented organizational actions purporting to produce excellent outcomes. This feature thus covered the causal links and the policy orientation of our study, whose ultimate goal has been to provide advice to school administrators regarding ways that they can increase excellent performance by schools. The instrumental (and hence causal) suggestions in In Search of Excellence therefore went beyond the more common "correlative" framework found in many other theories, in which certain conditions are only associated with the desired outcomes. In contrast,

excellence theory focused on specific management practices that, if implemented, were claimed to produce the desired results.

Naturally, as a management theory, the practices in In Search of Excellence do not cover the instructional and curriculum issues in a school setting. However, because school effectiveness theory had already covered these conditions, an examination of the usefulness of excellence theory was viewed as an appropriate way of augmenting school effectiveness theory.

Recent Developments

Before turning to our test of excellence theory, however, other recent events related to the theory should be noted in passing. First, due to a downturn in the economy, some of the 62 firms in the original study encountered performance problems following the publication of In Search of Excellence.[5] This change in trends raised questions regarding the robustness of the recommended practices, but overlooked was the fact that most other firms in the relevant industries also were having difficulties. Thus, a reasonable position would seem to be that appropriate management practices can create excellent performance only when the basic market conditions are present. If not, possibly no set of practices will save a firm, nor should the focus on practices be interpreted as substituting for these basic economic conditions. In the case of schools, large-scale demographic shifts in a neighborhood or city population, racial strife and desegregation, or budgetary and fiscal problems in city government might be considered analogous to such economic conditions.

Second, one of the authors of In Search of Excellence, Thomas Peters, went on to publish a sequel, A Passion for Excellence.[6] This sequel suggested that the original eight themes could be narrowed to three essential ingredients: a) superior customer service, b) internal entrepreneurship, and c) the facilitation of the first two with a "bone-deep" belief in the dignity, worth, and creative potential of every person in the organization.[7] The book also contained a chapter specifically directed at excellence in school leadership, using

examples from the documented behavior of principals in such schools as Deerfield Academy and the three "tough" urban schools in Sara Lightfoot's study of high schools.[8] The chapter showed how parallel lessons were still appropriate, although the analysis was limited to the topic of leadership behavior, and not management practices more generally. Thus, the need for a more comprehensive testing of the original tenets in excellence theory still remain.

Adaptation of Excellence Theory for The Present Study

The following section of our study covers the findings and conclusions with regard to the applicability of excellence theory to the management of comprehensive urban secondary schools. As noted in Chapter II, our study included three types of sites, selected according to different criteria and using different methods of data collection. For all three types, however, the language of the practices in industrial settings was first adapted to the school situation, so that appropriate data could be collected to test excellence theory. This adaptation is summarized on Table V-2, which shows the eight themes from excellence theory along with comparable school practices.

The adaptation was organized according to the basic components of school settings: 1) students, 2) teaching staff, 3) curriculum, 4) administrative leadership, and 5) school organization and management. The adaptation showed that all five components were readily accommodated by one or more of the eight themes from excellence theory, in the following manner (the letters after each theme refer to the letters in Table V-2):

- Students: Being Close to the Customer (Theme B)
- Teaching Staff: Maintaining Autonomy and Entrepreneurship (Theme C); and Sustaining Productivity Through People (Theme D)

Table V-2

EXCELLENCE THEMES AS TRANSLATED TO SECONDARY SCHOOLS

Excellence Theme*	School Leadership/Management
A. Having a Bias for Action	• Circulate in halls, classrooms • Stimulate innovation • Use small groups for decisions
B. Being Close to the Custumer	• Frequent testing and feedback • Individual attention • Student participation/recognition
C. Preserving Autonomy and Entrepreneurship	• Protect professional time • Support teaching variation • Foster staff interaction
D. Sustaining Productivity through People	• Implement staff initiatives • Provide staff development • Give frequent assessments
E. Being Hands-on, Value Driven	• Establish consensus on goals • Meet with staff frequently
F. Sticking to the Knitting	• Concentrate on core curriculum • Maintain quality control
G. Creating Simple Form, Lean Staff	• Have few full-time administrators • Keep flat, non-matrix organization
H. Having Simultaneous Loose-Tight Properties	• Mix central monitoring and decentralized decisions • Combine autonomy and shared goals • Maintain firm, fair discipline

*SOURCE: Peters, Thomas J., and Robert H. Waterman, Jr., In Search of Excellence, Harper and Row, New York, 1982.

- Curriculum: Sticking to the Knitting (Theme F)
- Administrative Leadership: Being Hands-On, Value Driven (Theme E)
- School Organization and Management: Creating a Simple Form, Lean Staff (Theme G)

Of the remaining two themes (see Themes A and H, Table V-2), the management practices appear to be directed at different school components, with the theme of "Having a Bias for Action" containing practices relevant to both the administrative leadership and the teaching staff components; and with the theme of "Having Simultaneous Loose-Tight Properties" reflecting practices for both the administrative leadership and for the school organization and management components.

In summary, this crosswalk between school components and the eight themes from excellence theory showed further the reasonableness of applying excellence theory to the management of schools. The purpose of the data collection was therefore to test this general hypothesis--that such practices (or ones similar to them) would be present at every school whose outcomes were known to have been exemplary. The absence of such practices would constitute rejection of the theory; where the practices were found, the data collection proceeded to describe these practices in greater detail, attempting to link them to the exemplary outcomes. The remainder of this section of the report therefore examines the findings from the intensive and focused sites, and then from the interview sites; the section concludes with a synthesis of the findings on excellence theory and the management of schools.

B. Findings from Intensive and Focused Sites

Summary of Data Collection Procedures

Chapter II has previously described the design and data collection for the three types of sites in our study: intensive, focused, and interview sites. The test of excellence theory first starts with the results from the intensive and focused sites, and then turns to the interview sites.

The purpose of the data collection was to determine whether certain kinds of practices were present in managing the schools, and how these practices were related to the exemplary performance the school had exhibited along three types of outcomes: attendance, reading achievement, and mathematics achievement. However, Chapter III indicated that, of the original four intensive and four focused sites, two of each kind failed for one reason or another to be acceptable for further study. (Also, had they been included, the results--as shown in Appendix D--would have been a lack of support for excellence theory.) Thus, the results reported below come from the remaining two intensive sites and two focused sites.

The main analytic framework was to examine the types of practices that could be identified as illustrations of one of the eight themes of excellence theory. The first question was whether such practices were present; the second and more difficult question was how these practices could explain the exemplary outcomes that were already known about the school. Table V-3 indicates the overall results: the data from the intensive and focused sites supported the relevance of excellence theory in managing exemplary schools. Practices were found for six of the eight themes; moreover, the practices appeared to be related to the performance of the school.

The sections below examine each of the eight themes individually, followed by a summary discussion of the apparent validity of the entire theory. Within each of the individual themes, several types of practices that were predicted to be present were found, and these are discussed. The discussion also includes a brief commentary of the

Table V-3

DISTRIBUTION OF PRACTICES
ACCORDING TO EIGHT THEMES OF EXCELLENCE THEORY

Theme	(+) = practices found: Intensive Site A	Intensive Site B	Focused Site C	Focused Site D
A. Having a Bias for Action	+	+	+	+
1. Principal spends time daily in hallways, lunchrooms, and classrooms (A,B,C,D)				
2. Principal delegates paperwork to minimize office time (A,B)				
3. Principal develops active school-community council, has informal coffee meetings, or makes presentations to community organizations (A,B,C,D)				
4. School administrators are organized into smooth working teams (A,B,C,D)				
B. Being Close to the Customer	+	+	+	+
1. Counselors give close attention to students (e.g., meet twice a year, have lower number of students to counsel) (A,B,C,D)				
2. School performance judged in part according to student test scores (A,B,C,D)				
3. Students influence school policies and decisions (none)				
4. School helps special student groups (e.g., jobseekers, minorities) (A,D)				
5. School gives diversity of student recognition and rewards (A,B,C,D)				
C. Preserving Autonomy and Entrepreneurship	+	+		+
1. School protects teaching time and autonomy (e.g., minimize classroom disruptions, eliminate homeroom, relieve teachers of administrative burdens) (A,B,D)				
2. School encourages innovation (e.g., instructional council, use of grants to teachers) (A,B,D)				

Table V-3, continued

	A	B	C	D
D. Sustaining Productivity through People	+	+	+	
1. Teachers hired to match school's goals because principal has strong voice in final decision (A,B,C)				
2. School emphasizes staff evaluation (A,B)				
3. School has special teacher recognition and rewards, including gift certificates for perfect attendance (A,B,C)				
4. School and departments encourage informal communications among staff, through scheduling or space allocation (A,B,C)				
E. Being Hands-on, Value Driven	+	+	+	+
1. Principal uses working groups and other mechanisms to become knowledgeable about school operations (A,B,C,D)				
2. School sets performance goals and assess progress toward goals annually (A,B,C,D)				
F. Sticking to the Knitting				
1. Students limited to core curriculum (none)				
2. Teachers use same text for same courses (D)				
3. School has strict promotion policy (A)				
4. School has developed standardized meaning of grades (A)				
G. Creating Simple Form, Lean Staff				
1. School has simple organization (none)				
2. School has clear lines of authority, avoiding matrix form of organization (none)				
3. School has small number of administrators and non-teaching staff (none)				
H. Having Simultaneous Loose-Tight Properties	+	+	+	+
1. School has numerous instances of centralized control and decentralized autonomy (A,B,C,D) (Also see items in Chapter VI of this report.)				

logic of the potential causal links between the practices and the desired school outcomes. As a reminder, what was important about these links was that they could be described in operational terms; however, the discussion does not imply that the practices were the only factors that could influence such outcomes, nor does it assess the extent of such influence. Rather, the point is that, without such operational linkage in even a conceptual sense, any understanding of the conditions producing exemplary urban secondary schools would still be of a correlative nature.

Having a Bias for Action

This theme was hypothesized to be reflected by such practices as: 1) intensive and personal communication by the principal, 2) the principal acting as advocate for the school, and 3) procedures for streamlining the routine administration of the school (the specific propositions can be found in the instrument in Appendix A). The results provided support for virtually all of these types of practices at the four schools.

Intensive and Personal Communication by the Principal. This type of practice was found in all four of the schools. The common practice was for principals to make themselves accessible to staff and students, whether by wandering hallways and visiting classrooms or by making office visits easy. One principal had developed a "hot minute" procedure for visiting classrooms, and he visited every classroom at least four times during the first two months of the semester--frequently leading to suggestions for staff development or other assistance.

The observational data from our site visits readily showed how the principals in all of the schools were in the midst of a constant flow of activity, responding quickly to calls and requests and having an open-door policy. To allow time for this type of approach, the principals also had to delegate routine duties to other staff members and also had to know how to minimize paperwork burdens. **Vignette No. 4** describes in more detail how this array of activities was managed by one principal.

Vignette No. 4

"STICKING CLOSE BY THE STORE"

"If instruction is really the top priority, then a principal's calendar should reflect that," according to one superintendent. This principal's appointment book has lots of blank spaces, few scheduled meetings, and even fewer scheduled outside meetings. His time is dedicated to the school and he gives its activities the utmost priority. The principal describes it as "sticking close by the store."

The principal tries to delegate as much work as possible to be freed to move around the school. He stresses in his conversations the importance of high visibility as a leader and ensures that his actions reflect this conviction. As one example, the principal goes through his mail each day and distributes all the correspondence that will tie up his time in the office. Other paperwork is reserved for after school, evenings, and weekends. He uses this freed time to wander the halls interacting with students and teachers. His practice is to complete two circuits throughout the building every day--morning and afternoon. These rounds take him into classrooms, faculty lounges, the student cafeteria, and outside grounds. Teachers and students confirm the fact that the principal is always roaming the halls and stepping into classrooms. The principal estimates that his informal visits into classrooms number about a hundred each school year. These visitations allow him to stay informed of the curriculum and teaching and to show active interest in the school's programs. In addition, the principal attends most sports and other outside events. Students and staff view his presence as a personal commitment to them.

Principal Acting as Advocate for the School. In acting as an advocate for the school, the principals in these four schools also had initiated specific practices. These included the development of an active school-community council, which resulted in the acquisition of resources for the school, including physical improvements to it. Another principal initiated informal coffee meetings in parents' homes and made numerous presentations to community organizations. This in turn stimulated parents' interest in school activities and a greater degree of parent visitation to the school. In general, the principals were aware of the importance of generating a positive image for the school within the community, as well as advocating for specific resources from the district.

Procedures for Streamlining the Routine Administration of the School. A third type of practice, found in all the schools, was some attempt to organize the other school administrators into smooth working teams. An especially distinctive approach in one school involved both the district and the school. The district undertook a district-wide interviewing and assigning of assistant principals, so that those with similar ideas and educational philosophies, also congruent with those of the principal (who had a voice in selecting the assistant principals), were assigned to the same school. District-wide policy had thus allowed each school to develop its own administrative teams. **Vignette No. 5** provides the details of similar activities at one of the other schools.

Summary. Overall, the support for this first theme was present in all of the schools. The presence of this type of administrative leadership and its closeness to the everyday concerns of the school presumably establish an important ingredient for improving attendance and other aspects of student performance. However, it should be pointed out that this is one of the themes of excellence theory that even in its original form (in business settings) was weak in establishing a clear causal link between the practices and excellence in organizational performance. In this respect, although excellence theory has gone one step further in calling attention to clear operational

Vignette No. 5

HAVING A BIAS FOR ACTION

One high school employs distinct administrative procedures for maximizing interaction and producing action: delegation of responsibility, use of frequent, short meetings, and minimal use of memoranda. The administration's priority during each school day is to deal with staff and student situations. A cooperative atmosphere is encouraged through a team, rather than through a bureaucratic or adversarial approach.

The administrative operations of the school are divided by major areas and delegated to assistant principals--i.e., curriculum and instruction, scheduling and grades, enrollment and attendance, and business operations. What may be unique is that assistant principals are given the responsibility and authority for their assigned areas. Assistant principals know the responsibilities and day-to-day operations of their administrative areas, so decisions can be made swiftly and effectively.

Secondly, small, informal administrative team meetings are held each morning for 15 minutes before school. This practice serves to update the team on special events of the day, potential problems, scheduling changes, and new priorities.

The third organizational procedure is minimizing the use of memoranda. The principal says that too many memoranda are already distributed to staff by way of the district, teachers' union, etc. Staff are kept informed through regular faculty meetings, committees, or the department chairpersons. Brief staff meetings are called when needed, to handle certain situations or convey urgent information. The administration always tries to deal directly with issues or problems as they arise, not after several days have elapsed. Teachers report that they appreciate the sense of immediate action, insistence on communication, and easy access to administrators.

practices, a full understanding of how particular practices eventually affect outcomes is still absent.

Being Close to the Customer

This theme was hypothesized to be reflected by such practices as: 1) the use of individual program plans for students; 2) the use of student test results to assess progress on school goals, 3) mechanisms for students to influence school policies and decisions, 4) the development of a variety of opportunities to meet individual students' needs, and 5) widespread efforts to recognize and reward students for exemplary performance. Of these five types of practices, most of the schools had some variant of all but the third. Despite this exception, the overall theme was judged to have been supported by the data.

Use of Individual Program Plans for Students. At all of the schools, although individual program plans were not necessarily used, serious efforts had been made to improve counseling services to students. Typical concerns were the maintainance of reasonable counselor-to-student ratios, and to attempt to have at least two counseling sessions per year with each student. At one school, special attention was given to students in the entering grade (the ninth), by giving them more frequent report cards and greater access to counseling services.

Use of Student Test Results to Assess Progress on School Goals. The analysis of student test scores as a part of reviewing a school's progress towards its goals was a common feature of the four schools. In most cases, such use of test scores had been implemented by the district, but the important point is that information about student performance was being used in relation to judgments about school performance, and not just feedback to the teachers and students.

Mechanisms for Students to Influence School Policies and Decisions. In contrast, mechanisms for students to influence school policies and decisions were not found in any of the schools. In one school, the student council had its own office in the school's administrative suite, met daily, and included volunteers and not just elected representatives. Despite the enthusiastic support for this

student activity (the students also made all of the public address announcements), close examination revealed that the activities did not deal with curriculum, instructional, or other substantively important policy matters. Thus, in this case as in the remaining three schools, the predicted practice was not considered to be in place.

Development of a Variety of Opportunities to Meet Students' Needs. Such developments were found at all of the schools. An example of such a practice in one school was the holding of a hiring fair for high school students (sponsored by the district), the availability of a career resource center at the school, and the scheduling of regular "help" days for students by the school's departments. Another school had special support groups for its minority students, to identify relevant activities and problems of direct interest to these students. At another school, there were special programs to serve students at all points of the performance spectrum: services for at-risk students and advanced courses for academically talented students, as well as opportunities and activities for the "average" student.

Widespread Efforts to Recognize and Reward Students for Exemplary Performance. These types of efforts were a hallmark of all four schools. The schools had generated an expectation that all students would enter competitions (academic or athletic) and that every student could attain some type of recognition. In turn, the schools assured a wide diversity of competitions and set aside special honors days or banquets at which the goal was to recognize as many students as possible for as many accomplishments as possible. **Vignette No. 6** provides an example of yet another approach to recognizing a large number of students.

Summary. The second theme of "Being Close to the Customer" was judged to have overall support despite the exceptions noted above. Furthermore, the link between these practices and student performance were quite direct in a causal sense. For instance, many of the practices were aimed at improving student attendance, and the guidance and other opportunities provided to students were oriented toward other aspects of individual performance, including career opportunities following graduation.

Vignette No. 6

MAKING SCHOOL ENTICING FOR STUDENTS

"All of our efforts will not be 'pushing' clients toward high standards; some of our efforts will be 'enticing' clients. We want to make the school's name one of pride for all students who meet our standards and one of envy for all students who fall short. We will be developing the guidelines for our program with the help of students, staff, and parents. The term 'we' is just what it means. I don't intend to be a one man show. I must have every staff member's support."

This idea of a program to recognize all students was presented in a principal's opening message of the school year. The purpose is to focus on all student effort as positive, and not to concentrate energy on negative student attitudes and behavior. The program attempts to make school excellence something that students want to be part of. To become a participant, students must have passing grades and few absences. Membership is granted through personal requests to the principal who uses the opportunity to meet students individually and acknowledge their contributions to the school.

An empty classroom, decorated in the school's colors, was created for student use before and after school. Membership cards, embossed with the school's logo and bearing the student's name and picture, are necessary for entrance into the special student lounge. Membership also entitles students to free movie passes, discounted food items, and occasional gifts from neighborhood sponsors. Monthly events are staged by teachers to honor students, and new program participants have their names announced on the public address system.

Preserving Autonomy and Entrepreneurship

This theme was hypothesized to be reflected by such practices as: 1) steps taken to protect teaching time and professional autonomy, and 2) the promotion of innovation and variation in the curriculum and school operations. Specific practices of these kinds were found in three of the four schools. At the fourth school, numerous related practices were found, but these appeared to be more appropriately categorized under the theme of "Sustaining Productivity through People" (discussed next). As a result, the overall theme was judged to have been affirmed.

Steps Taken to Protect Teaching Time and Professional Autonomy. The protection of teaching time and professional autonomy was reflected by several different practices. These included the use of assistant principals to relieve administrative burdens on the teaching staff, the minimization of disruptions to class time, and even the elimination of a home room period. How this range of practices was undertaken by one school is illustrated in **Vignette No. 7.**

Promotion of Innovation and Variation in the Curriculum and School Operations. The schools also had installed specific practices along these lines. At one school, an instructional council, composed of faculty, staff, and administrators, had been formed. The council dealt with matters of school management and encouraged "home-grown" solutions to various problems. At another school, the staff had actually developed a district-wide reputation for starting new courses, with departments giving teachers the resources and encouragement to take such initiatives. A related practice was one in which the principal sought opportunities and then encouraged teachers to apply for special grants for further advances in course development or teaching.

Summary. The overall effect of the practices under this theme was to create an environment of innovation and development, especially with regard to the instructional activities of the school. In theory, such instructional practices can influence student outcomes, and thus the installation of such practices can be considered to be linked causally to such outcomes.

Vignette No. 7

PROTECTING TEACHING TIME

Minimizing administrative interference with teaching time is a high priority in the school. The principal's primary emphasis is on time-on-task, with fewer students out of the classroom. Class interruptions are discouraged--both administrators and teachers try to protect their time. As one example, the public address system is not used except for advisory messages and in emergencies, thereby maximizing classroom time for teaching and learning. No student rallies are held during the school day and, in fact, all extracurricular activities must be held after school. In a further effort to reduce interruptions, only critical messages are delivered during class periods and the principal discourages student absences for activities.

Special emphasis is given to facilitating teachers' planning. The teachers have one conference period a day, which they use for grading papers, teaching preparation, and meeting colleagues. Systematic school procedures regarding discipline and tardiness are well routinized and do not require a great deal of teacher time or decision-making. These efforts by the school administration to reduce distractions and interruptions in the school day have resulted in the creation of an environment in which teacher performance is maximized and where learning time is protected and valued.

Sustaining Productivity through People

This theme was hypothesized to be reflected by such practices as: 1) the hiring and assigning of staff to match existing school goals, 2) the frequent monitoring of staff and provision of inservice opportunities to align its work with school goals, and 3) the sustaining of frequent and informal staff interactions and communication. As in the previous theme, the practices were found at three of the four schools. At the fourth school, analogous practices had been found but had been categorized under the previous theme; thus the overall pattern of results were judged to be supportive of the present theme.

Hiring and Assigning of Staff to Match Existing School Goals. This practice is more likely to occur where a principal has a strong if not final voice in the selection and assignment process. Such principal control was found in all of the schools studied. A dramatically different version of such a practice was found in one school and is the subject of **Vignette No. 8.** In addition, the departments also can play an important role in matching staff to students' and school needs, and the departments in the schools studied actively asserted this role.

Frequent Monitoring of Staff and Provision of Inservice Opportunities. Distinctive staff evaluation and inservice opportunities were prevalent in all of the schools. At one school, teacher evaluations were based on an elaborate system of multiple classroom observations--some made by district staff. Those teachers having difficulties were then assisted in developing a specific plan of action to address these difficulties. At a second school, another indication of the strong commitment to this type of practice was the higher frequency of classroom observations by the principal and assistant principals than was required by district regulations. These first two schools also had developed teacher award and recognition programs to complement the evaluation activities; for instance, teachers received gift certificates for perfect attendance, and attendance rates improved over a multi-year period. The third school had developed a distinctive staff development and inservice training program in which teachers were paid at the district workshop rate for after-school time and the program was part of the school's School Improvement Program.

Vignette No. 8

SELECTING THE TEACHING STAFF

Active recruitment of staff is treated by one principal as an essential part of his instructional leadership in the school. It is not unusual for the principal to hire professors away from the local university. He aggressively recruits the top graduates from the college's teacher training program. The other local high school become another source for identifying and securing good teachers. The principal contacts teachers at other schools and encourages them to apply for positions on his staff. In addition, the principal is adamant about interviewing any teacher candidates sent by the district and gets reassurances that his choices will be granted. Department chairpersons and other teachers are involved in the selection process by recommending any known exemplary teachers and by attending interviews of potential candidates. In selecting teachers, the principal is looking for teachers who will complement the staff, characterized as "outspoken, independent, and professional."

The principal wants master teachers in each department in order to keep every academic subject a priority in the school. Secondly, he wants to maintain strong departments that, in turn, can carry the school both academically and organizationally. With the assurance of a qualified teaching staff, the principal feels secure in lending departments substantial autonomy. The degree of autonomy is matched by an attitude of respect for the teachers. Respect that encourages an outspoken and bold staff, creates an environment in which innovation, pilot programs, and new courses flourish, and demands and delivers a high caliber academic program.

Sustaining Frequent and Informal Staff Interactions and Communication. Sustaining frequent and informal staff interactions was also the subject of explicit practices at these schools. Some of the practices were initiated by the departments--e.g., the holding of weekly, pot luck lunches or Friday brunches by the math and English departments at one of the schools. The provision of a planning period everyday, as well as an active teacher center, were the practices at a second school. A third school's practices, reflecting the allocation of space resources in the school, is the subject of **Vignette No. 9.**

Summary. The practices for this fourth theme were all aimed at making the staff more productive while also increasing staff satisfaction and morale, and the practices found led to the overall judgment that the results supported the presence of this theme. As with the preceding theme, many of the practices involved instructional practices and can therefore affect school performance.

Being Hands-On, Value Driven

This theme was hypothesized to be reflected by such practices as: 1) the seeking of clear and direct knowledge of all school operations, on the part of the principal, and 2) the enforcement of a clear set of norms and performance-related goals. Relevant practices of this sort were found in all of the four schools, and thus the results supported this theme as well.

Seeking Clear and Direct Knowledge of All School Operations, on the Part of the Principal. The principals' strategies for becoming knowledgeable about school operations varied in the schools, but all were effective. At one school, in addition to direct classroom observations, the principal had formed a small working group of students and staff--the principal's advisory group; frequent meetings with this group were one way of conveying information about school operations. Another school had lunch time assemblies during which the principal could become familiar with existing problems and complaints. A third principal combined his vigorous recruiting of new staff with opportunities to learn about staff needs and classroom activities.

Vignette No. 9

ENCOURAGING STAFF COLLABORATION

Collaboration among teachers is encouraged at one high school by a simple, physical configuration--common department offices. No teachers are assigned individual classrooms. The shared office space becomes the replacement and forces a certain amount of communication. Teachers say it reduces the territoriality and isolation of teachers in individual classrooms all day.

With common office space, teachers are in daily contact with each other. Each teacher has a desk, an elbow's distance from another one, as well as shared filing cabinets and bookshelves in one of the converted classrooms. Teachers tend to spend their planning periods and lunch times in the offices talking among themselves. The opportunity is created for many informal discussions between teachers and curriculum development, teaching skills, and student needs.

In addition, the arrangement means that department chairpersons can have continued and readily available access to the teachers. One teacher said that the single most important factor in improving her teaching was the sharing of ideas across the department desks with other teachers.

Teachers continue to choose the use of classrooms for common office space over the convenience of having individual classrooms for teaching because of the collaboration it brings. The collaboration results in more team teaching efforts than in other high schools in the district. Also, more new courses are developed and piloted in this high school than the others. Staff satisfaction and morale are higher, as teachers report "that they are not left alone to do their job."

Enforcement of a Clear Set of Norms and Performance-Related Goals. This practice was symbolized in the form of school or even district-wide slogans pointing to the importance of student performance. In one school, the formal goals were translated into performance-based objectives for each department. In another school, the district set the general goal areas, but the school identified the specific performance targets for itself; at the end of each year, the principal and departments assessed how well each goal was achieved.

Summary. The schools had other examples of these kinds of practices, attesting to the support for this theme. Because the nature of the norms and performance-related goals directly covered the same topics as those important to school performance, these practices were considered to be readily linked to the exemplary outcomes at these schools.

Sticking to the Knitting

This theme was hypothesized to be reflected by such practices as: 1) the emphasis on a few key subjects in the curriculum, and 2) the organization of the curriculum to assure high standards and quality control. In contrast to the preceding five themes, only one practice was found to fall within this theme. Overall, the results therefore did not support this theme from excellence theory.

Emphasis on a Few Key Subjects in the Curriculum. Such emphasis--as in a tight core curriculum--was not found at any of the four schools. At one school, students could select from a wide variety of courses. In addition, teachers could use different texts for the same course, thereby increasing the diversity of the course offerings even further. At another school, the school even prided itself in offering a wide array of courses, including a large number of electives. This diversity was recently reduced by the district, but this change only occurred during the past year, which was too recent to affect any of the outcomes assessed by the present study.

Organization of the Curriculum to Assure High Standards and Quality Control. Similarly, only one practice was found to assure high

standards and quality control in the curriculum. At this school, the district had imposed tough standards for promotion and graduation, resulting in a highly imbalanced enrollment in the school (895 students in the 9th grade; 372 in the 10th, 175 in the 11th, and 341 in the 12th). Students failing to pass a minimum set of requirements could therefore stay in the 9th grade repeatedly. At the other schools, the absence of quality control and standards was reflected by the fact that the faculty were only beginning to develop a standardized meaning of grades, and no formal systems had been put into place. Most schools had no common standards for course objectives, homework, or testing.

Summary. The absence of relevant practices meant the results did not support the theme of "Sticking to the Knitting."

Creating Simple Form, Lean Staff

This theme was hypothesized to be reflected by such practices as: 1) the use of a simple and flat organizational structure, and 2) the absence of matrix forms of organization leading to competing lines of authority. No such practices were found in the schools, and therefore this theme was not supported.

The Use of a Simple and Flat Organizational Structure. This practice did not exist at any of the schools. Rather, the schools had at least two administrative layers beneath the principal--the assistant (or vice-) principals and the department heads. Counseling departments and other special areas also kept the school from having a simple structure. Whether the development of a simple and flat organizational structure is possible for urban secondary schools or could improve their performance can only be determined by further inquiry.

Absence of Matrix Forms of Organization. Some type of matrix form of organization in fact was found in each of the schools. The conflicting lines of authority were often reflected by the fact that the school did not have an organizational chart and that the staff expressed confusion about the relationships among the various administrative positions. One school had two vice-principals, three deans, six guidance counselors, a director of guidance, a director of

athletics, a director of community education, and numerous departments heads; teachers and students alike had difficulty knowing the appropriate person for a given problem or question.

Summary. The results therefore also failed to support this seventh theme.

Having Simultaneous Loose-Tight Properties

The hypothesized practices for this theme had to do with mixed central monitoring and decentralized decisions. A generic characteristic of schools is that such mixtures readily occur in terms of the different amounts of control at the school, department, and classroom levels, with the principals, department heads, and teachers all exerting a degree of autonomy and discretion yet within a central structure. The four schools did not differ in this respect, and this theme was therefore considered to be supported.

In addition, however, the investigation of this theme also produced information on an interesting and potentially important division of responsibilities between the school and the district. The results were considered sufficiently important that they are the subject of an entire section of this report (see Chapter VI). As but one example of the loose-tight properties between the school and the district, **Vignette No. 10** describes how the district is becoming more careful and systematic about selecting principals for its high schools. This centralized control may then be juxtaposed against the autonomy and discretion that the principal can exert, once appointed. Other similar practices are discussed in Chapter VI.

Vignette No. 10

SELECTING AND EVALUATING PRINCIPALS

One district is given greater attention, both formally and informally, to principal selection, under a new superintendent. The attention is directed towards performance-based assessments and the selection of instructional leaders as principals.

Two changes in this new direction are the use of three-year contracts and the development of a detailed principal evaluation process. The three-year contracts replace the previous no-year contracts in the district, under which principals had virtual tenure in their existing positions. The new contracts provide a formal point at which the district can intervene, if there is dissatisfaction with a principal's performance, and make a reassignment.

The principal evaluation process also has become more stringent under the present superintendent. Both the amount of documentation and the criteria for review has changed. Documentation now calls for direct evidence regarding a principal's accomplishments. For example, one topic of evaluation is instructional leadership, which includes items such as: delegation of responsibility, participation in curriculum development, inclusion of district goals in school activities, and analysis of student population needs. Other topics of evaluation include management ability, communication, and professional growth. The criteria for review have shifted from a more traditional set of leadership traits to assessments linked directly to student outcomes.

These formal changes are but the most visible components of the district's overall shift in principal selection, training, and assignment. In general, the qualifications for principalships have shifted to greater instructional talent.

C. Findings from Interview Sites

Analytic Strategy

As noted in Chapter II, the interview sites consisted of 32 schools in which five members of the staff had been interviewed. The interviews asked the staff about the presence, absence, and nature of specific practices predicted by excellence theory, but involved no further attempt to corroborate the practices through direct observations or the analysis of documents.

All of the data were converted into categorical variables. For some of the data, these variables reflected an ordinal scale (e.g., high, medium, or low); for other data, these variables reflected a nominal scale (e.g., whether the major source of a practice was the school, the district, the school and the district, or the state). The frequency of the practices mentioned was then cross-tabulated with the performance outcomes for the school--i.e., scores in reading achievement, mathematics achievement, and attendance data. Thus, every practice was cross-tabulated three times--once in relation to each of the performance outcomes.

Also as mentioned earlier in Chapter III, the data from these interview sites were examined even though none of the sites achieved the same exemplary level of outcomes as the four intensive and focused sites. Because the outcomes were not as exemplary, the only other choice would have been to ignore these results entirely, but such an alternative was viewed undesirably. Thus, the analysis was pursued even though it may only be considered an exploratory one.

Examples of Three Types of Statistical Relationships

As a group, the frequency of practices exhibited three different kinds of statistically significant relationships with the performance outcomes. (Many relationships, of course, were not strong enough to be significant.) These three kinds of relationships are described first, so that the results with excellence theory can be interpreted more easily later.

The first two types of relationships, and those given the greatest attention, were those where high school performance, on any one of the three outcome measures, was associated with the presence of a practice in a significantly positive or negative direction (all significance levels were at the $p < .05$ level or better). An example of a positive relationship is shown in Table V-4. The table reflects a practice under the theme of "Having Simultaneous Loose-Tight Properties:" that high performing schools have teacher award programs in which awards are given by both the school and the district (whether the award programs are joint or not was not considered). The data show that, when performance on mathematics achievement tests is considered as the outcome measure, the low and medium performing schools (see the second and third rows in Table V-4) tended to have either: a) no awards, or b) awards given by the district only (see the first two rows in Table V-4). In contrast, the high scoring schools (see the first column), tended to have awards offered by the school and the district (see the fourth row). Thus, the data from Table V-4 were interpreted as positively supporting the relationship between the practice and the outcome.

In contrast, an example of a negative relationship is shown in Table V-5. The table reflects a practice under the theme of "Preserving Autonomy and Entrepreneurship:" that high performing schools have more frequent departmental meetings (presumed to be a means of fostering staff initiatives and productivity). When testing this proposition by using attendance scores as the outcome measure, the data show that it is the low performing schools (see the third column, Table V-5) that in fact have the most frequent departmental meetings, and that the medium and high performing schools (see the first and second columns, Table V-5) have disproportionately fewer such meetings. Thus, the results were interpreted as negatively supporting the relationship between the practice and the outcome.

The third type of relationship was a bimodal relationship, in which the low and high performing schools shared similar characteristics, and both could be contrasted to the medium performing schools.

Table V-4

RELATIONSHIP BETWEEN AWARDS TO TEACHERS AND SCHOOL OUTCOMES (MATHEMATICS)

Source of Awards to Teachers	Rating on Mathematics Achievement Test		
	High	Medium	Low
No Awards	11	12	15
District Alone	15	12	28
School Alone	6	3	0
School and District	19	7	7

Non-responses = 25
df = 6
χ^2 = 17.6
$p < .01$

Table V-5

RELATIONSHIP BETWEEN FREQUENCY OF DEPARTMENT MEETINGS AND SCHOOL OUTCOMES (ATTENDANCE)

Frequency of Department Meetings	Rating on Attendance		
	High	Medium	Low
More Frequent (9 or more per year)	47	20	38
Less Frequent (0-6 per year)	19	14	6

Non-responses = 16
df = 2
χ^2 = 7.53
$p < .05$

The possible reasons for this bimodal relationship will be discussed later, but Table V-6 gives an example of this relationship. The table reflects a practice under the theme of "Sustaining Productivity through People:" that high performing schools have more frequent teacher evaluations. When reading scores are used as the outcome measure, the data show that both the low and the high performing schools have a low frequency of teacher evaluations (see first and third columns, Table V-6), and that the medium performing schools have higher frequency of such evaluations (see second column, Table V-6). In this situation, the data were interpreted as producing "bimodal" results, because the low and high performing schools displayed similar results.

All of the excellence practices and their relationships to the three outcomes were therefore classified according to whether the relationships were:

- Positive ($p < .05$ level or better);
- Negative ($p < .05$ level or better);
- Bimodal (both low and high performing schools display similar distributions, at $p < .05$ level or better); and
- None (relationship between practice and outcome not significant at the $p < .05$ level).

Given this classification scheme, the following subsections present the results for excellence theory.

Results

Support for Excellence Theory. Table V-7 enumerates the practices covered for each of six themes from excellence theory (there were three to nine practices for each of these six themes). The columns of the table sequentially present: a) the statement of the theme and the practices included within it, b) the variable number in the data analysis procedure, and c) the relationship between the practice and each of the three outcome measures. Thus, the last three columns of

Table V-6

RELATIONSHIP BETWEEN
FREQUENCY OF TEACHER EVALUATIONS
AND SCHOOL OUTCOMES (READING)

Frequency of Teacher Evaluations	Rating on Reading Achievement Test		
	High	Medium	Low
High (6 or more every 5 years)	13	12	9
Medium (3-5 every 5 years)	16	20	7
Low (0-2 every 5 years)	31	10	19

Non-responses = 23
df = 4
$\chi^2 = 11.50$
$p < .05$

Table V-7

SUMMARY OF RESULTS FROM INTERVIEW SITES, BY EXCELLENCE THEME

Theme	Var. No.	Dependent Variable: Math	Read	Attend.
1. Having a Bias for Action				
Teacher walks into principal's office	29	--	pos.	--
Principal circulates outside of the office	31	pos.	--	--
Principal spends little time on paperwork	35*	--	--	--
Principal requests district support	37	--	--	--
Principal reports time outside of office	30*	--	pos.	--
2. Being Close to the Customer				
School has annual achievement test	53*	over 85 percent yes		
Schoolwide, curriculum-based testing	55	bi.	neg.	--
Tests used for setting annual goals	60	bi.	--	bi.
Tests used for feedback to students	57	--	--	--
Tests used to revise the curriculum	58	--	--	pos.
Tests used for teacher planning	59	bi.	--	neg.
Policy on students meeting regularly with counselors	61*	neg.	--	--
Counselors required to keep records of student sessions	62*	--	--	neg.
3. Preserving Autonomy and Entrepreneurship				
Teachers have one planning period/week	9	over 85 percent yes		
Faculty meetings held often--once/month	23	--	--	pos.
Dept. meetings held often--once/month	24	--	--	neg.
Formal com. meetings held often--once/month	25	--	--	--
Teachers meet in dept. or fac. facilities	21	over 85 percent yes		
Teachers have special periods for discus.	22	bi.	--	--
Moderate percentage of faculty meeting is for discussing curriculum	26	pos.	--	--
Moderate percentage of dept. meeting is for discussing curriculum	27	pos.	--	bi.

Table V-7, continued

4. Sustaining Productivity Through People				
Teachers meet often for inservice or staff development	11	--	--	--
New school policy/practice initiated due to teacher suggestion	13	--	--	--
Teacher evaluations are frequent	16	neg.	bi.	--
New teaching practice initiated due to information from teacher evaluations	18	bi.	--	pos.
Teachers received awards/honors last year	20	--	pos.	pos.
5. Being Hands-On, Value-Driven				
Principal has frequent, formal meetings with teachers	28*	--	--	--
Principal participates frequently in extra-curricular activities	32*	--	--	--
Principal's first goal is academic goal	38	--	--	--
Principal frequently observes classrooms	33*	--	--	--
New curric./instruct. practice initiated due to principal	36*	--	--	--
6. Sticking to the Knitting				
High percentage of required courses	49*	--	--	--
Promotion based on academic requirements	51	over 85 percent yes		
School has unique staff/academic tradition	68	pos.	pos.	pos.
7. Creating Simple Form, Lean Staff				
No questions asked for this theme				
8. Having Simultaneous Loose-Tight Properties				
See questions on co-management				

* = N=32 because only principals were asked this question

the Table V-7 indicate the results of the statistical tests between the practices and the outcome measures--i.e., whether the relationship was significantly positive, negative, or bimodal, or not significant. (No statistical tests were performed where 85 percent or more of the responses, for all schools, were in the same direction, because this distribution of scores was considered insufficiently varied to draw any conclusions.)

For the themes that were covered, the general conclusion was that the results supported excellence theory, although the support was weak. This conclusion was based on a simple count, within each theme, of the frequency of positive and negative relationships (the bimodal relationships were ignored for this analysis). For instance, the theme of "Having a Bias for Action" was considered positively supported because three practices showed statistically significant positive relationships to one of the outcomes, with no negative or bimodal relationships. "Being Close to the Customer" was considered negatively supported because there was only a single positive relationship but there were four negative ones.

Similarly, positive support was found for: "Preserving Autonomy and Entrepreneurship" (three positive and one negative relationship); "Sustaining Productivity through People" (three positive and one negative); and "Sticking to the Knitting (three positive and no negative). The theme of "Being Hands-on, Value Driven" was considered to have neutral results (no positive and no negative); "Creating Simple Form, Lean Staff" was considered negative even though no questions were asked, because no organizational structure for the high schools studied had ever been found to satisfy this condition; and "Having Simultaneous Loose-Tight Properties" was positively supported although the discussion of these data will be found in Chapter VI of this report.

Overall, five of the themes from excellence theory were positively supported, one was untested (no statistically significant relationships), and two were negatively supported. On this basis, the results were interpreted as supporting excellence theory, but only weakly. Nevertheless, given that this third set of (interview) schools was

entirely different from the first two sets of (intensive and focused) schools, the results from this third set of sites provide limited corroboration of the findings from the first two types of sites. Although the sites and data collection methods were different, practices predicted by excellence theory were found in those schools that scored high on the outcomes, even though they were not as exemplary as the four intensive and focused sites.

Bimodal Relationships. The bimodal relationships were not analyzed in terms of their support or lack of support for excellence theory. However, one interpretation of these bimodal relationships is that there are occasions when high performing and low performing schools might have the same practices--i.e., if the low performing schools are "turnaround" schools. Such turnaround schools may be characterized as those in which the school administrators are trying to change a school from being one of the worst to one beginning to have acceptable and orderly school behavior. In trying to make these changes, the administrators may very well use some of the same practices as might be found in schools with exemplary outcomes, and thus a bimodal relationship would be produced in cross-tabulating the presence of the practice with school outcomes.

D. Summary Discussion of Excellence Theory

Peters and Waterman's In Search of Excellence contains an array of management practices that the authors claim have produced sustained excellent performance by a wide variety of large businesses. These practices were translated into counterparts in urban secondary schools, and the data from all three types of sites--intensive, focused, and interview--were analyzed for the presence of these predicted practices.

The general result, given the limitation to two intensive and two focused sites (rather than all of them), was that the data supported the relevance of excellence theory in managing urban secondary schools. Besides being an important empirical test of a management theory that has drawn considerable attention among educators, the result also augmented the earlier results from school effectiveness theory in a significant way.

The Complementarity of School Effectiveness and Excellence Theories

School effectiveness theory--also corroborated by our data--may be considered to point more toward the instructional conditions correlated with exemplary school outcomes. Because the theory was mainly developed in elementary school settings, it does not purport to address the issues of managing a complex organization such as the secondary school. In contrast, excellence theory focuses on management practices, pointing to those that may be linked causally to exemplary school outcomes in situations where an organization may have several layers, different types of administrators, and cross-cutting organizational units. Together, the two theories therefore start to provide the type of comprehensive framework befitting the problem of operating complex organizations such as urban secondary schools.

For instance, the correlates of school effectiveness theory that were corroborated at both intensive sites in Chapter IV were as follows:

1. The principal as instructional leader;
2. A safe, orderly school climate;
3. A system for monitoring and assessing school performance;
4. The pronouncement of clear academic goals;
5. A sense of teacher efficacy over the conduct of the school;
6. The existence of rewards and incentives for individual teachers and students;
7. The development of community support for the school;
8. Concentration on academic learning time;
9. A coordinated curriculum; and
10. The use of a variety of teaching strategies.

This list tends to capture important instructional matters. To it can now be added a list of management practices that were corroborated in the present chapter and that recognize the secondary school as a complex organization (the list only includes the practices from those excellence themes that were identified at all three types of sites):

1. Intensive and personal communication by the principal;
2. The principal acting as an advocate for the school;
3. Procedures for streamlining the routine administration of the school;
4. Steps taken to protect teaching time and professional autonomy;

5. Promotion of innovation and variation in the curriculum and school operations;

6. Hiring and assigning staff to meet existing school goals;

7. Frequent monitoring of staff and provision of inservice opportunities;

8. Sustaining of frequent and informal staff interactions and communication; and

9. Mixed central monitoring and decentralized decisions.

The point of the two lists is not to suggest that the more comprehensive theory merely consists of a longer, master list that combines the two lists. Rather, the suggestion is that one part of the theory (reflecting school effectiveness) must deal with instructional management, and that a second part of the theory (reflecting excellence) must deal with organizational management. Later, Chapter VII will examine this suggestion in greater detail. For the moment, a possibly important observation is that this feature--i.e., distinguishing instructional and organizational matters when dealing with a complex school organization--has not been met by prior theories of large secondary schools.

A Missing Ingredient

The results from both Chapters IV and V also suggest that the complete theory may have a third part. The reason for this suspicion is that, throughout the data for both school effectiveness and excellence theory, reference was made to certain initiatives taken by the school district, and not just by the school.

Yet, neither school effectiveness theory nor excellence theory make provision for an overhead or supervisory organization above the target school or firm. On the contrary, both theories assume that the target school or firm is a rather autonomous unit, with the principal

or CEO being the final voice of authority. The next chapter challenges this view and presents the argument for the relevance of a third part to any comprehensive theory of exemplary urban high schools.

NOTES TO CHAPTER V

[1]Thomas J. Peters and Robert H. Waterman, Jr., In Search of Excellence: Lessons from America's Best-Run Companies, Harper & Row, New York, N.Y., 1982.

[2]As but one example, many school districts ordered multiple copies of this book for the bookshelves of the administrators and school principals in the district.

[3]For example, see William Spady, "Lessons for Educational Executives from America's Best-Run Companies," Far West Laboratory for Educational Research and Development, San Francisco, Calif., May 1983; as well as the whole issue of Educational Leadership, 1984. As another example of an attempt to translate a business theory to an educational setting, see Paul S. George, The Theory Z School: Beyond Effectiveness, National Middle School Association, Columbus, Ohio, 1983; however, this work was not based on the collection of new empirical evidence and was mainly applied to middle schools.

[4]Peters and Waterman, op. cit., p. 22.

[5]See "Who's Excellent Now? Some of the Best-Seller's Picks Haven't Been Doing So Well Lately," Business Week, November 5, 1984.

[6]Thomas J. Peters and Nancy Austin, A Passion for Excellence: The Leadership Difference, Random House, New York, 1985.

[7]Besides the book itself, also see Susan Benner, "Three Companies in Search of an Author," Inc. Magazine, August 1984.

[8]Sara Lawrence Lightfoot, The Good High School, Basic Books, New York, N.Y., 1983.

VI. DISTRICT AND SCHOOL CO-MANAGEMENT OF URBAN HIGH SCHOOLS

A. The Emergence of a Third Conceptual Theme

The design and implementation of school practices at the exemplary schools in our study revealed an additional feature not well covered either by school effectiveness theory or by excellence theory. This third feature was noted because many practices appeared not to emanate solely from 1) school-based initiatives alone, but were some combination of either: 2) district mandates, or 3) a more dynamic type of district-school collaboration.

The role of the district in affecting the urban high school had been considered of policy relevance in our study, but the gaps in the two existing theories were not appreciated until after the preliminary data had been collected. Furthermore, our findings suggested the possible importance of a more dynamic type of district-school collaboration (what we will call "co-management"), which is different from the traditional district mandates popularly acknowledged in the past. Therefore, the following sections of this chapter first indicate the gaps in the two theories and propose the possibly distinctive nature of the more dynamic type of district-school collaboration. Subsequent sections then review the data from the three types of sites, to determine the degree of support for this type of collaborative relationship.

Gaps in Excellence Theory

The gaps in excellence theory are discussed first, because excellence theory provides a more complex situation.

Excellence theory has several important features that make it relevant to the urban high school, and these were discussed in detail in Chapter V of this report. Essentially, excellence theory provides:

- A causal theory of management--providing action advice and not merely correlates of exemplary school outcomes;

- A framework relevant to large, complex organizations in business, and hence analogously more akin to high schools than to elementary schools; and

- A framework aimed at organizations with sustained exemplary performance, and not turnaround situations.

However, even in its application to business settings, the practices in excellence theory were largely limited to behaviors within the firm, with the President or Chief Executive Officer considered the sole leader of the organization. Overlooked are the relationships between the firm and its larger governance structure, including the Board of Directors and the shareholders. Yet, key decisions about the strategies to be designed and implemented in operating a firm can and often do result from the joint efforts at all three levels, and not just by the President acting in an autonomous fashion. Thus, some Boards of Directors may be much more powerful and manage the firm's activities more closely than other Boards, which may be more passive. This variation in President-Board roles and how to manage the various relationships between the President and the Chairman of the Board, for instance, are not covered by excellence theory.

One could claim, however, that our rendition of excellence theory incorrectly chose the school as the level of organization analogous to the firm. Such a claim would continue that, if the district had been considered the target organization, excellence theory could have handled the district-school relationship in the same manner in which it might view a firm as being comprised of several (if not numerous) divisions. Under such a condition, one could argue that the district superintendent was the equivalent to the CEO. However, this claim is difficult to defend, because the purpose of this study was to explain exemplary urban high schools, and not exemplary districts (although one could also do a "district" study). Moreover, excellence theory has little to say about operating exemplary divisions, so the school's needs would have been ignored, had the district been the target organization.

As a result, our previous testing of excellence theory in Chapter V was purposely focused on the school level. The main testing of the theory was in terms of practices within the school, with little or no attention paid to the source of the practice--i.e., whether it was school or district initiated (or a combination of the two). The school was considered analogous to the business firm, and the principal was considered analogous to the chief executive, with the school therefore assuming the same implicit autonomy as the firm in excellence theory.

The only exception to this discussion concerned the eighth theme from excellence theory, "Having Simultaneous Loose-Tight Properties." The discussion of this theme was reserved for this chapter for the following reason. Although the theme in its original form deals with the degree of centralization and decentralization within a firm's operations, similar issues can be examined between the firm and its board and shareholders. Similarly, for schools, within-school issues can be augmented to include district-school relationships. To this extent, our approach has been to modify and extend the eighth theme from excellence theory, but the theory itself largely ignores the governance structure beyond the immediate operations of the firm.

Gaps in Effectiveness Theory

School effectiveness theory has an even larger gap in acknowledging the potential role of the district. The theory is based on the implicit assumption that the school is an autonomous entity, with no questions or directives aimed at district policymaking and district effects on school practices.

This gap in school effectiveness theory has been acknowledged by other analysts and also was ignored in our testing of effectiveness theory in Chapter IV. The gap is especially interesting, given that effectiveness theory has mainly focused on elementary schools, because this level of schooling is often more closely governed by district policies than is the secondary level. Nevertheless, little new research has attempted to articulate the possible role of the district in terms of school effectiveness theory. As a result, our test of

effectiveness theory in Chapter IV was purposely limited to the question of school practices, without regard to the source of the practice--again, whether it was school or district initiated (or a combination of the two).

School Autonomy, District Mandates, and District-School Co-Management

In contrast to the gaps in these two theories, the data from the sites suggested a three-fold view of district and school initiatives that could affect school management. This three-fold view bears strong similarity to Larry Cuban's bottom-up, top-down, and mixed (top-down and bottom-up) implementation strategies.[1]

The school autonomy or bottom-up perspective is the one that permeates both excellence and effectiveness theories. Management practices are initiated and implemented by individual schools, which in turn may have learned about such practices from other schools. However, no specific district policy covers these practices, and thus the implementation process is completely within the discretion of the school principal or administrative team. As pointed out by Cuban, a clear sign of bottom-up practices may be found when schools in the same district vary to the point of being unique from school to school.[2]

District mandated practices, in contrast, reflect a top-down perspective. In the past, such practices have included district-mandated: instructional goals (e.g., scores on specific student tests), curriculum and textbooks, assessment procedures, and staff development programs. As Cuban notes, the top-down strategy has been prominent in the implementation of school improvement efforts in many districts over the past fifteen years.[3] Whatever the practice, the top-down approach leads to practices that tend to be implemented uniformly from school to school because district policy has clearly stipulated the practice. Deviations in implementation patterns naturally occur, but these are considered to be undesirable and are not encouraged.

Neither the school autonomy nor district mandated approaches are especially new to the school scene. Tendencies toward school autonomy have frequently characterized the operation of large high schools, and

district mandates have existed for a long time even though the emphasis on them has oscillated from period to period in different states and locales. However, the third perspective--district/school co-management (a mixed top-down and bottom-up approach)--may reflect a pattern that has not yet been well articulated. The essence of the approach would be where district and school officials collaborated in designing and implementing specific practices tailored to the needs or situation of the specific school. This collaboration could be over completely ad hoc issues or, as Cuban has noted, can reflect a broad district mandate whose substance at any specific school has not been prescribed:[4]

> By directing from the top a process to occur at each school without prescribing the content of the decisions, a variation on the familiar bottom-up approach emerges. In short, seeking tighter coupling of district practices to school action does not necessarily mean mandating the same effort districtwide; it can be triggered by superintendent mandate but proceed gradually on a school-by-school basis.

In this third approach, a spirit of district-school co-management may be said to be exhibited in several ways. First, district officials take a posture of flexibility and adaptiveness toward their schools. Rather than imposing the same practice on each school, the schools are considered part of a diverse portfolio in which variations in practices are encouraged, even to the point of different specialization on the part of each school (e.g., schools might excel in different curricular or extra-curricular specialties). Second, school officials might participate (with district officials) in the design of the new practices, allowing the school officials to have more control and influence than they might have in the past. Third, district officials might participate (with school officials) in the implementation of the new practices, allowing district officials to have more contact and greater understanding of school practices than they might have in the past. Typically, the co-management would be spurred by a greater sense of

school-district participatory decisionmaking at the district level and a higher frequency of school visits on the part of district officials at the school level.

Hints at the possible existence of this third approach can be found in isolated studies. For instance, investigators at the University of Chicago studied 113 elementary school principals in the suburbs of Chicago.[5] The study found that the principals definitely served as if they were "...sub-officials working within rather clearly established limits imposed by the organization-at-large." Furthermore, the LEAs exerted control not by issuing rules and directives but by monitoring principals' results with regard to student performance and the nature of public and parental reaction to the school. As another example, Terry Deal has pointed toward the increasing tendency toward "participatory management" within school districts, reflecting a greater proclivity of well managed districts to look within their own organizations rather than beyond the district for ways of improving their performance.[6]

However, as Cuban notes, no previous studies have adequately compared these three approaches, so that their efficacy in different situations is unknown. In Cuban's words, "...few researchers have investigated the connections between strategies and outcomes."[7]

Our study suggested an even more basic deficiency--that:

- The distinctions among the top-down, bottom-up, and mixed types of implementation strategies have not been delineated, even in a descriptive sense, to ascertain whether the threefold typology is robust.

Thus, the main purpose of analyzing the data from the intensive, focused, and interview sites was to clarify the different kinds of practices that might fall within one or another of these categories. However, unlike Chapters IV and V, this did not constitute a testing of an existing theory but rather the development of a new conceptual framework, because the distinctions among the three types of district-school relationships have been an underdeveloped topic.

As with Chapter V, the findings from the intensive and focused sites are first examined, followed by the findings from the interview sites and a general discussion.

B. Findings from Intensive and Focused Sites

The purpose of examining the evidence from the intensive and focused sites was to provide concrete examples of the types of practices falling into the three categories reflecting: school autonomy, district mandates, and district-school co-management. In this sense, the purpose of this analysis was different from those of Chapters IV and V of this report. Whereas those sections were concerned with testing two different theories of managing secondary schools, the goal of the present analysis was much more descriptive and exploratory--i.e., to delineate and distinguish the three categories of practices, to suggest a typology worthy of further research.

The following subsections therefore present examples of the three types of practices. These are the same practices as have been presented in the Chapters IV and V (and the notations throughout the text refer to the practices previously enumerated in Table V-3). However, these earlier sections did not attend to the source of the practices and the combination of school-district initiatives in their implementation.

Examples of Practices Initiated Solely at the School Level

Previous research probably has most appreciated and documented the nature of autonomous school actions. This is because any focus on school activities readily acknowledges the key role of the principal, teachers, students, and parents in the performance of a school. Practices instigated by any of these parties therefore draw greater analytic attention than practices emanating from other sources (e.g., the district or state), and are more frequently the topic of research attention.

Principal Activities. Typical is the activity of the principal and his or her administrators. Practices involving the principal's individual leadership style--e.g., spending daily time in the hallways, lunchrooms, and classrooms--are not the result of any external mandate, but reflect the commitment and priorities of the individual principal.

These kinds of practices were found in the intensive and focused sites (see A1 and A2, Table V-3), and therefore represent the first example of autonomous school actions.

Similarly, the degree to which a principal attempts to communicate with the broader community--examples of which also were found among the intensive and focused sites (see A3, Table V-3)--may be considered a reflection of the school autonomy orientation. The fact that some principals will attempt to develop an active school-community council, whereas other principals may have informal coffee meetings or make numerous presentations to community organizations, are matters of the individual style of the principal.

With regard to the principal's role, the most autonomous situation was not found among sites in this study, but has existed in other school districts. This is the situation where principals stay at specific schools for long periods of time, with few district directives (such as desegregation), and little district attention to evaluating the principals' performance or attempting to rotate them among schools. Under this situation, a principal can operate with a great deal of individual autonomy, thereby accentuating the degree of school autonomy.

Teacher Activities. Teachers also exercise a great deal of autonomy over their work, and in this sense provide another array of school autonomy practices. Under the most autonomous situation, specific classroom activities--ranging from the selection of the text, the nature of the curriculum, the instructional methods used, and the precise meaning of grades--can be completely within the control of individual teachers, to the extent that teacher autonomy and not just school autonomy is a relevant concept.

In secondary schools, much of this autonomy is exerted through policies and practices set by the school's academic departments, and not just by teachers acting individually. Many departments have budgetary control over the funds used for supplies, materials, and other matters related to the curriculum, and these practices also may be considered examples of school autonomy. At the intensive and focused sites, such departmental initiatives also were noted with

regard to the encouragement of informal communication among teachers, and through scheduling and space allocation policies (see D4, Table V-3). Similarly, the nature and extent of inservice training and staff development activities were frequently the decisions of the departments or school alone (also D4).

Student and Parent Activities. The role of students and parents in a school provide yet other examples of school autonomy practices. Although the practices at the intensive and focused sites did not uncover any major influence by the students over school policies and decisions, the ways in which the student council operated were distinctive in different schools and therefore reflected the school autonomy orientation (see B3, Table V-3). For instance, the student council at one of the intensive and focused sites met daily, had an office in the administrative suite of offices of the school, permitted participation by volunteers and not just elected representatives, and made all public address announcements.

Similarly, the ways in which parents interact in school affairs are matters reflecting school autonomy--whether to participate vigorously in the parent-teacher association, to create additional types of groups, and to raise funds and locate other resources to be used by the school. At one of the intensive and focused sites, an example of this practice was the formation of a special group of interested parents, which met monthly and promoted a rich array of communication between the school and the community--e.g., parent visitations to the school, principal presentations to community groups, and frequent and informal meetings between the parents and the principal (see A3, Table V-3).

Examples of Practices Initiated Solely at the District Level

Districts also have been recognized as sources of policies and practices affecting individual schools. Typically, the district mandates are viewed as actions that counteract school autonomy--i.e., reducing the discretion at the school level and making schools more uniform (and presumably more equal). However, research on these

policies and practices, as previously noted, has been sparse.

Districts can mandate particular behaviors or requirements over the basic school organization, teaching conditions, curriculum, and the students. In some cases, the mandates are the local counterparts to state mandates, but the important attribute is that the mandates are external to the school.

School Organization. Districts set school budgets, determine salary levels, establish personnel policies, and otherwise regulate the basic organization of the school. None of these practices had been the subject of either excellence or effectiveness theory, so the data collection from the intensive and focused sites did not directly include these practices, even though they did exist in each of the schools studied. Such practices serve as common examples of district mandates that directly affect schools.

Teaching Conditions. Districts also can set rules over various teaching and instructional conditions. These rules cover the amount and distribution of the teaching load, the time and occasions provided for teacher preparation, and the prerequisites for teaching in the school or for offering a particular course. Such rules frequently reflect the conditions established through collective bargaining with a teachers' union, and therefore are applied equally to all schools in the district.

Among the intensive and focused sites, practices reflecting this kind of district mandate were found in one situation in which the district had taken specific steps to increase instructional time. The district had done this by increasing class time to 55 minutes, eliminating pep rallies during the school day, eliminating homeroom, and limiting public address announcements to one per day (see C1, Table V-3). As another example, a second district had mandated the formation of an instructional council as a decisionmaking body consisting of the faculty, staff, and administrators at each school (see C2, Table V-3). Although the council necessarily dealt with different types of problems at each school, the formation and procedures of the council had been specified by the district.

Curriculum. The district also can set policies regarding the nature of the school curriculum. At one of the focused and one of the intensive sites, this was reflected by the rules governing the scope and breadth of courses that could be offered, the requirements for taking various courses, promotion and graduation policies, and the development of standardized meanings for grades (see F3 and F4, Table V-3). These and other practices are commonly considered to be within the realm of typical district prerogative, although many districts do not exercise such functions and may instead give broad discretionary powers to the school.

Students. Finally, districts determine numerous practices with regard to student performance, student services, and student behavior. These include first the specification of the tests to be given to students to assess their progress as well as that of the school (see B2, Table V-3); at one of the intensive and one of the focused sites, the district also had standardized the tests given in each department.

Second, these practices can include the definition of the counseling services to be provided to students--e.g., specifying the maximum number of students to be seen by each counselor or the ways in which the counselors should be organized to serve the students (see B1, Table V-3). Third, the mandates can cover the practices for placing students at a new school--e.g., the district at one intensive site and one focused site started the practice of having the feeder schools do the testing and make the placement recommendations for students entering secondary school (see B4, Table V-3).

Districts can set a variety of rules regarding student behavior, eligibility to participate in sports and extra-curricular activities, acceptable tardiness and delinquency rates, and reward and recognition. Some of these practices were found among the intensive and focused sites (see B5, Table V-3), and these practices represent yet further examples of district mandates.

Examples of District-School Co-Management

The third category of practices differs from the first two in that

the practices develop as a result of some collaborative effort between the school and the district, and are not the product of unilateral decisions. Previous research, as noted before, has not given these practices much attention, but our hypothesis is that the extent of these practices also has increased significantly during the past ten years, reflecting a substantive shift in the nature of district-school relationships. The practices may cover school leadership and the basic school organization, teaching conditions, and students.

School Leadership and Organization. An example of co-management as it affects school leadership would be a practice at one of the intensive and focused sites, in which the district began the practice of rotating assistant principals (see A4, Table V-3). However, these assistant principals were not merely rotated according to district criteria. Rather, the purpose was to allow principals and assistant principals to interview each other, and to allow those with the most compatible views and educational philosophies to be located at the same schools. Given such compatibility, the schools were then encouraged to develop administrative teams, to which the principal could delegate more administrative work. This produced a situation where the leadership of the school was more unified and provided more flexibility than in the past. The reason that this practice may be regarded as an example of co-management is that the district developed a practice that permitted different substantive results at any given school. Rather than having a uniform structure and set of procedures at each school, the administrative teams could have different goals and could operate differently, depending upon the conditions and needs at each school.

A similar effect was observed at the intensive and focused sites as part of the data collected about the schools' traditions and community context (but not as part of the propositions for excellence or effectiveness). What was discovered was that a school's unique "school spirit"--associated with school pride and keeping the facilities clean--often stemmed from the distinctive features of the school building, and at one intensive and focused site an assistant principal led a very public effort to keep the building clean and to convey pride

in the school's facilities. At other schools, the building might have been considered the flagship school of the district or have had other distinctive architectural features. Although there was no ongoing practice that involved district-school collaboration, the fact is that the selection of the distinctive design for the building was a district decision, but the decision was made so that the school would have its own identity. Again, the essence of the co-management theme is that district policy was tailored to the situation of a specific school, and not just applied equally to all of the schools in the district (if it were, all the school buildings would be alike).

A third example of a practice dealing with the school organization was where the principal not only had the final approval in staff assignments made to his school, but also could help to recruit for new staff to join the district in the first place (see D1, Table V-3). Naturally, the new staff needed to meet the district's basic prerequisites in order to be hired as teachers (an example of district-wide policy), but the principal's participation in the recruitment process meant that the principal could influence the hiring of persons with the desired attitudes for his school (an example of the tailoring needed for individual schools).

Teaching Conditions. Co-managed practices that affected teaching conditions also were found among the intensive and focused sites. One of the more prominent of these was a case in which district staff helped to make direct classroom observations as part of the teacher evaluation process (see D2, Table V-3). The observations and other feedback about the teacher's performance led to the development of a specific plan of action, directed at the individual teacher, to rectify weaknesses and make future improvements. The tailoring of teacher evaluations to meet an individual school's needs as well as to satisfy district policy also was found at a second school, where the principal observed every classroom at least four times during the first two months of the school year, making "hot minute" observations in the classrooms and leading ultimately to suggestions for staff development or other assistance.

Other co-managed practices involved a district-wide program for which school participation could vary. The program was a mentor teacher program, with teachers awarded extra funds to carry out supplemental curriculum projects (see C2, Table V-3). However, the program was not based on any initial allocation of funds to each school (which would have been a way of treating the schools in a similar fashion). Rather, teachers had to apply for these funds, and the amount of awards could therefore differ appreciably by school, with no necessity for treating schools in equal fashion. And, in fact, the awards during any given year were found to vary considerably from school to school.

Along the same lines, one district among the intensive and focused sites was found to offer annual teacher awards (see D3, Table V-3). These awards were in addition to the recognition and awards offered to teachers by the school and therefore may be considered another example of co-management.

Students. Other examples of co-management involved practices toward students. At one intensive and focused site, the district mandated that every secondary school give more attention to the needs of incoming ninth graders (see B1, Table V-3). Each school, however, was free to develop its own specific approach to this mandate, and at the site studied the ninth graders received more frequent report cards and high-risk students were given more counseling time.

Districts also can help to encourage exemplary student performance by offering award and recognition programs and annual assemblies. This practice was found at several districts, not just those within the intensive and focused sites.

Summary

The evidence from the intensive and focused sites, as well as a few commonly accepted examples, yielded a lengthy list of practices that could be assigned to the three categories of school autonomy, district mandates, and district-school co-management. These practices are summarized in Table VI-1.

Table VI-1

SCHOOL AUTONOMY, DISTRICT MANDATES,
AND DISTRICT-SCHOOL CO-MANAGEMENT:
ILLUSTRATIVE PRACTICES

Examples of Practices Reflecting
SCHOOL AUTONOMY

Principal Activities

Principal defines and implements own daily leadership style--e.g., visiting classrooms, spending time outside of office.

Principal implements own ways of communicating with the broader community--e.g., parents and community organizations.

Principal holds indefinite term of office at same school, thereby permitting the development of other distinctive leadership characteristics.

Teacher Activities

Teachers select textbooks, define curriculum, and instructional methods used.

Departments control use of funds for supplies and materials.

Teachers and departments determine use of inservice and staff development resources.

Student and Parent Activities

Students define and implement particular style for student council--e.g., meeting daily and participating in broad array of activities.

Parents define breadth and intensity of role in participating in school and raising funds.

Table VI-1, continued

Examples of Practices Reflecting
DISTRICT MANDATES

School Organization

District sets school budgets, determines salary levels, and establishes personnel and other basic school policies.

Teaching Conditions

District defines: prerequisites for teaching, the teaching load, and the time allotted for teacher preparation.

District sets time for classroom periods and rules for homeroom time and public address announcements.

District mandates formation of instructional council at each school, consisting of faculty, staff, and administrators, to deal with instructional matters.

Curriculum

District sets rules for scope and breadth of course offerings, including definition of required courses.

District sets promotion and graduation policies.

Students

District specifies student tests and assesses student and school progress according to test results.

District defines counseling services for students.

District decides to let feeder schools do testing and recommend placements for students entering secondary school.

District sets rules for student eligibility for sports and extra-curriculur activities.

District sets policies for tardiness and delinquency.

District establishes award and recognition programs for students.

Table VI-1, continued

Examples of Practices Reflecting
DISTRICT-SCHOOL CO-MANAGEMENT

School Leadership and Organization

District sets policy of rotating assistant principals, but specific assignments are determined by principals and assistant principals conducting mutual interviews, to establish teams with compatible views.

District establishes design for school building, and selects a design that will give new school a distinctive identity.

District and principal both actively recruit for new staff and decide about assignments of staff to school.

Teaching Conditions

District and school staffs both make classroom observations as part of elaborate teacher evaluation system. Teachers get specific plan of action to improve their performance, if needed.

District establishes program for teachers to compete for extra funds to carry out supplemental curriculum projects.

District and school make awards to teachers.

Students

District mandates more attention to ninth graders; school is free to design specific steps to be taken.

District holds major awards assemblies for students and announces awards in its newsletter.

District slogans for student behavior and performance are evident in the school.

Traditionally, the school autonomy practices and district mandates have been considered to be the major sources of directives in managing high schools. Thus, the school autonomy list (see Table VI-1) emphasizes individualistic and discretionary initiatives taken by the principal, the teachers, and students and parents. In contrast, the district mandate list emphasizes the uniform constraints that a district puts on all of the secondary schools in the district, in terms of the school organization, teaching conditions, the curriculum, and student services and behavior.

The findings from the intensive and focused sites do not deny the relevance of this traditional tension between school autonomy and district mandates. Rather, the data have revealed the importance of a third type of initiative, which may have been given more emphasis by districts and schools in recent years, and which has been given less attention in the literature: the implementation of actions reflecting district-wide policies that are nevertheless flexible in terms of what each school is allowed to do, leading to the development of initiatives that are district sponsored but nevertheless tailored to the needs of individual schools. As summarized in Table VI-1, such practices cover school leadership and organization, teaching conditions, and student services and behavior.

The distinctive characteristic of co-managed practices appears to be that they are based on global or district-wide concerns, but are nevertheless implemented in innovative or unique ways in individual schools. In some instances, the tailored response may result from actual collaboration between district and school staff; in other instances, the district policies may simply leave room for flexibility in implementation in different schools, and the excellent school may then be the one that best takes advantages of this flexibility. However, whether these co-managed practices are correlated with exemplary school outcomes was not examined in either the intensive or focused sites, because interest in this type of practices only emerged after the data collection was underway.

C. Findings from Interview Sites

At the same time, the data collection from the interview sites was used as an opportunity to develop the items for testing this relationship, because the data collection was designed after the interest in this topic had already emerged. However, in retrospect the data collection items were not designed to focus sharply enough on the co-management issue, and the data were not able to disentangle the three conditions of school autonomy, district mandate, and district-school co-management. Briefly, however, the results were as follows.

The protocol for the interview sites contained two types of questions--those in which the persons interviewed were forced to select a dominant decisionmaker involved in implementing a specific school policy or practice, and those in which the interviewee could indicate multiple decisionmakers. The responses to these two types of questions were then correlated with the school's outcomes as previously noted in Chapter V--i.e., whether rated high, medium, or low on mathematics achievement, reading achievement, or attendance. The analytic framework was therefore similar to the ones used in the preceding chapter on excellence theory, and the results are reported below.

Dominant Decisionmakers

Table VI-2 lists the school practices for which the interviewee was asked to identify the dominant decisionmaker. These topics were classified according to three themes--those affecting school policies, teachers/instruction, and curriculum requirements. To take an example, the topic of "who decides about the amount of time to be devoted to staff development" (see Table VI-2, topic A2), produced the responses that districts alone did it 56 percent of the time, schools alone did it 14 percent of the time, and districts and schools both did it 14 percent of the time (not reported in Table VI-2 are extremely low frequency responses; thus, the enumerated responses add to roughly 90 percent or higher on all responses, but do not add to 100 percent).

Table VI-2

SUMMARY OF RESULTS, BY DISTRICT-SCHOOL CO-MANAGEMENT THEME
(I. Forced Choice among Various Decisionmakers)

Topic	Var. No.	Dependent Variable Math	Read	Attend.
A. Teachers/Instruction				
1. Definition of number of planning periods for teachers:				
District alone defines--91 pct.	10	over 85 percent yes		
2. Amount of staff development time:	12			
District alone sets time-56 pct.		--	--	pos.
School alone sets time--14 pct.		--	--	--
District and school both do--14pct.		--	pos.	--
3. Practices to improve Academic Learning Time:	15			
District alone does--5 pct.		--	--	--
School alone does--67 pct.		pos.	--	--
District and School both do--6 pct.		--	--	--
4. Frequency of teacher evaluation:	17			
District alone sets frequency--74 pct.		--	--	--
State alone sets frequency--18 pct.		--	--	--
5. Making of teacher awards:	19			
District alone makes awards--33 pct.		--	--	--
School alone makes awards--9 pct.		--	--	--
District and School both award--25 pct.		pos.	pos.	--
B. School Policies				
1. Setting of school goals:	40			
District alone sets goals--9 pct.		pos.	--	--
School alone sets goals--64 pct.		--	--	--
District and School both set--21 pct.		--	--	neg.
2. Requirement for counselors to keep individual student records:	63*			
District alone sets policy--41 pct.		--	--	--
School alone sets policy--9 pct.		--	--	--
District and School both set policy--18 pct.		--	--	--
(no such requirement--32 pct.)				
C. Curriculum Requirements				
1. Specification of required courses:	50*			
District alone makes requirements-59 pct.		--	--	pos.
District and School both do--10 pct.		--	--	--
State alone makes requirements--28 pct.		--	--	pos.
2. Specification of promotion requirements:	52			
District alone sets requirements--86 pct.		over 85 percent yes		
3. Use of schoolwide curriculum-based testing:	56			
District alone requires--30 pct.		--	--	--
School alone requires--13 pct.		--	--	--
District and School both require--3 pct.		--	--	--
(no such testing--45 pct.)				
4. Selection of annual achievement test:	54*			
District alone selects--70 pct.		--	--	--
State alone selects--22 pct.		--	--	pos.

*N=32 because only principals were asked this question

Five such topics were covered under teachers/instruction, two under school policies, and four under curriculum requirements.

Table VI-2 shows that only two items (A2 and A5) had statistically significant relationships between a co-managed responsibility and high ranking outcomes. (The ideal result would have been to have a higher frequency of such positive relationships, with no such relationships for the other decision-making categories. Furthermore, for one item (B1), the relationship was statistically negative. At the same time, there were scattered positive relationships for other decision-making categories--i.e., where the district acted alone (A2, B1, C1), the school acted alone (A3), or the state acted alone (C1 and C4). Therefore, the results are not strong enough to confirm or reject the co-management hypothesis.

Multiple Decisionmakers

The second type of question consisted of topics for which an interviewee could indicate multiple decisionmakers--i.e., indicate all the parties perceived to be involved in the decision-making process. These data are shown in Table VI-3, which lists items under the same three themes (teachers/instruction, school policies, and curriculum requirements), and which indicates the frequency with which different decisionmakers were claimed to be involved in the decisions. For this second type of question, the statistical tests also were conducted for each type of decisionmaker separately.

The results showed that, when given a chance, interviewees indicated that multiple decisionmakers were involved in specific decisions for every topic. Furthermore, for most of the items, the district and principal together tended to be the most frequently involved combination of decisionmakers. However, the line of questioning could not disentangle the possible situations of true co-management from situations in which one party might have dictated the practice and the other might have had to implement it. To this extent, this second type of question was not properly designed.

Table VI-3

SUMMARY OF RESULTS, BY DISTRICT-SCHOOL CO-MANAGEMENT THEME
(II. Multiple Choices Possible among Various Decisionmakers*)

Topic/Main Decisionmaker	Var. No.	Dependent Variable Math	Read	Attend.
A. Teachers/Instruction				
Teacher evaluations:				
District--30 pct.	47A	pos.	pos.	pos.
Principal--81 pct.	47B	bi.	--	pos.
Dept. Heads--31 pct.	47D	--	--	neg.
Teachers--4 pct.	47E	frequency too low		
Staff development:				
District--61 pct.	48A	--	--	--
Principal--57 pct.	48B	bi.	pos.	--
Dept. Heads--28 pct.	48D	--	--	--
Teachers--36 pct.	48E	pos.	--	--
Teacher scheduling and assignments:				
District--1 pct.	44A	frequency too low		
Principal--48 pct.	44B	--	--	--
Dept. Heads--72 pct.	44D	pos.	--	--
Teachers--40 pct.	44E	pos.	--	pos.
B. School Policies				
Setting schoolwide goals and objectives:				
District--43 pct.	41A	--	--	--
Principal--90 pct.	41B	over 85 percent yes		
Dept. Heads--35 pct.	41D	--	--	bi.
Teachers--36 pct.	41E	--	--	bi.
Deciding on departmental spending:				
District--16 pct.	42A	neg.	--	--
Principal--45 pct.	42B	--	--	--
Dept. Heads--86 pct.	42D	over 85 percent yes		
Teachers--51 pct.	42E	--	--	pos.
Hiring faculty:				
District--69 pct.	43A	pos.	pos.	--
Principal--86 pct.	43B	over 85 percent yes		
Dept. Heads--30 pct.	43D	neg.	--	--
Teachers--4 pct.	43E	frequency too low		
Setting student behavior rules:				
District--50 pct.	46A	--	--	bi.
Principal--87 pct.	46B	over 85 percent yes		
Dept. Heads--3 pct.	46D	frequency too low		
Teachers--47 pct.	46E	--	--	--
C. Curriculum Requirements				
Curriculum Design:				
District--67 pct.	45A	neg.	--	--
Principal--36 pct.	45B	--	pos.	bi.
Dept. Heads--51 pct.	45D	pos.	bi.	--
Teachers--45 pct.	45E	pos.	pos.	pos.

*Unreported are the responses for assistant principal as decisionmaker, because these responses all were too low in frequency.

Summary

The data from the interview sites begin to suggest ways in which the co-management issue can be studied in future research. The goal would be to corroborate the threefold typology of practices--school autonomy, district mandate, and district-school co-management--and then to relate this typology to various kinds of school outcomes. However, the difficulties encountered in the intensive sites, in creating the appropriate types of questions on a more superficial level, suggest that this further research should first be done in an intensive manner at a few sites before a more superficial data collection effort is made at a large number of sites.

D. Summary Discussion of District-School Co-Management

The results from the three types of sites suggest that district-school relationships are indeed important to any theory of exemplary urban high schools. These relationships have been examined under three conditions: practices reflecting school autonomy, practices reflecting district mandates, and practices reflecting district-school co-management. Whereas the first two types of practices have not been considered new contributions to previous knowledge of district-school relationships, the third type may be a newly emerging relationship that deserves much further investigation.

Co-Management

The importance of the district in co-managing the urban high school has been largely ignored by the two theories that were tested in Chapters IV and V: school effectiveness theory and excellence theory. Rather than viewing the district as a hostile or insensitive force (as would be the case under the school autonomy or district mandate perspectives), the co-management perspective begins to point toward the ways in which districts may be setting global policies, within which individual schools may help to design and select their own particular forms of implementation. This may include the practices previously listed in Table VI-1 and that may have been in many schools for some time:

- The assignment of assistant principals;
- The design of new school buildings;
- The recruitment of new staff and their assignments at a given school;
- The making of classroom observations for the purpose of teacher evaluation;
- The provision of excess funds to encourage teachers to develop innovative curricula;

- The making of awards to teachers and students;
- The targeting of efforts to particular students (e.g., incoming ninth graders) but with schools free to develop the specific ways of dealing with these students;
- The holding of awards assemblies and other ways of publicizing student performance; and
- The presence of district slogans at the school level.

Globally, the distinctive feature of co-management is that the district operates as if its schools were part of a portfolio of investments, with each investment serving a slightly different purpose rather than the same uniform purpose (as would be the case under the traditional district mandate). At the same time, district policies can affect school operations in a wide variety of significant ways, and thus the role of the district cannot be ignored in any theory dealing with urban secondary schools.

Toward A Comprehensive Theory of Exemplary Urban High Schools

The importance of the co-management theme reinforces the view that the complete theory for managing exemplary urban high schools may require three parts: one dealing with instructional issues; a second dealing with management of complex organizations; and a third dealing with the layered effect of having an overhead organization (the district).

The data from all three types of sites, as shown in the last three chapters, substantiates this complex view. To repeat the basic thrust of the findings: School effectiveness theory is relevant but may be limited to instructional conditions, due to its roots in the study of the elementary school; excellence theory provides insight into the managerial practices that can produce the desired outcomes in a complex

organization; but both effectiveness and excellence theories need to be augmented by *a third component, which deliberately accounts for the* role of an overhead organization--the school district--in producing exemplary urban high schools.

NOTES TO CHAPTER VI

[1]Larry Cuban, "Transforming the Frog into a Prince: Effective Schools Research, Policy, and Practice at the District Level," Harvard Educational Review, May 1984, 54:129-151; in contrast, many other perspectives merely assume that the only choices are top-down or bottom-up, and ignore the possibility of the mixed strategy--e.g., see Phillip C. Schlechty, "District Level Policies and Practices Supporting Effective School Management and Classroom Instruction," in Regina M.J. Kyle (ed.), Reaching for Excellence: An Effective Schools Sourcebook, National Institute of Education, Washington, D.C., 1985.

[2]Cuban, p. 139.

[3]Ibid, p. 140.

[4]Ibid, p. 140.

[5]Dan C. Lortie, Gary Crow, and Sandra Prolman, The Elementary School Principal in Suburbia: An Occupational and Organizational Study, unpublished study, University of Chicago, Chicago, Ill., May 1983.

[6]Terrence E. Deal, "Searching for the Wizard: The Quest for Excellence in Education," unpublished paper, Peabody College, Vanderbilt University, Nashville, Tenn., March 1984.

[7]Cuban, op. cit., p. 140.

VII. CONCLUSIONS: HOW URBAN HIGH SCHOOLS ARE MANAGED

A. Brief Review of the Study and Its Findings

Summary of Study Objectives

The main purpose of this study was to identify management practices that help to produce exemplary urban high schools. Urban schools were considered to be those that met the following criteria:

- Schools having a comprehensive and general academic curriculum--e.g., not exam schools or magnet schools;
- Schools being located in central cities with 100,000 persons or more and densities of at least 1,000 persons per square mile;
- Schools serving at least 30 percent disadvantaged or low-income students; and
- Schools serving at least 30 percent racial or ethnic minorities.

The exemplary nature of such schools was initially defined by a wide variety of outcomes--e.g., student attendance, scholastic attainment, continuation in education, employment, social functioning, attitudes toward learning, absenteeism, and classroom behavior. However, due to the lack of comparable evidence from school to school with regard to most of these outcomes, the actual measures used in the study were limited to: attendance and scholastic attainment, over a three-year period of time. Such sustained performance--in which a school placed in the top quartile of all urban secondary schools--nevertheless defined exemplary schools and also distinguished them from "turnaround" schools.

In addition, the desired management practices were not assumed to be a substitute for at least two other major conditions that also help to produce exemplary schools: 1) the performance levels and natural abilities of the incoming student body, and 2) the talents and

dedication of the teaching staff. Rather, the question was whether any management practices could be identified that appeared to complement and facilitate student as well as teaching performance--i.e., to provide an environment conducive to learning and achieving.

Summary of Findings

The study called for a variety of data to be collected from schools that met the preceding criteria. The data included information about school practices that were hypothesized to produce, in part, the exemplary outcomes. Those practices that were found to be relevant are listed in Table VII-1, under the three columns of school effectiveness theory, excellence theory, and district-school co-management.

A review of Table VII-1 should reveal the full agenda that might be followed in producing exemplary urban secondary schools. In some cases, specific practices are identified; in other cases, the desired condition is listed. Whichever the case, Table VII-1 shows the rather broad range of topics that must be covered: principal and school administrators, school, teachers and students, community, and classroom and curriculum. For each topic, Table VII-1 shows relevant practices or conditions where they were found in the preceding chapters.

School Effectiveness Theory. At the first two sites in which several person-weeks were spent on-site (intensive sites), the data tended to support the validity of school effectiveness theory, as such theory might be applied to high schools. Evidence was collected on 13 of the 14 correlates or school conditions predicted to be important by school effectiveness theory, and of these 13, 10 were found to be present at the two exemplary sites. The ten correlates are shown in Column 1 of Table VII-1. However, most of the correlates or conditions in school effectiveness theory were derivatives of operations in elementary schools, and were therefore be considered to be a good starting point, dealing with instructional management but not with the ways of organizing the urban high school as a complex organization.

Excellence Theory. Thus, at the same two sites as well as at numerous other sites at which data collection was less intense (focused

Table VII-1

SUMMARY OF PRACTICES
FOR MANAGING EXEMPLARY URBAN HIGH SCHOOLS
(Themes and Practices)

Realm	School Effectiveness Theory	School Effectiveness Excellence Theory	District-School Co-Management
PRINCIPAL AND SCHOOL ADMINISTRATORS	The principal as instructional leader	Intensive and personal communication by the principal Principal acting as advocate for the school Procedures for streamlining routine administration of school	Rotation of assistant principals to create school teams
SCHOOL	Safe, orderly climate System for monitoring and assessing school performance Pronouncement of clear academic goals	Hiring and assigning staff to meet existing school goals Mixed centralized and decentralized decision-making	School building designed to be distinctive District and prinicipal share staff recruitment and selection District slogans for student behavior and performance
TEACHERS AND STUDENTS	Sense of teacher efficacy over the conduct of the school Rewards and incentives for individual teachers and students	Steps to protect teaching time and professional autonomy Frequent monitoring of staff and provision of inservice Sustaining of frequent and informal staff communications	Observations of teaching practices Awards to individual teachers and students Attention to ninth graders
COMMUNITY	Development of community support for the school		
CLASSROOM AND CURRICULUM	Concentration on academic learning time Use of variety of teaching strategies	Promotion of innovations and variation in the curriculum	Competitive program for supplemental curriculum projects

and interview sites), practices from a second theory--i.e., those found in the management book In Search of Excellence--were examined. The data showed that the predicted practices from excellence theory were found at most sites, and the relevant practices are listed in Column 2 of Table VII-1.

Although a few of these practices overlapped those in school effectiveness theory, these practices from excellence theory were considered to be more characteristic of the organizational management of the school, with recognition given to the role of assistant principals, department heads, and other specialists typical of the urban secondary school (in comparison to the simpler organizational structure of the elementary school).

District-School Co-Management. Throughout the data collection, yet another dimension seemed prevalent and was therefore given consideration as a third potentially important theme, complementing those from school effectiveness theory and excellence theory.

The repeated observation was that urban high schools did not operate in totally autonomous fashion, nor were they always the victims of district-wide mandates. Rather, there were significant instances in which school practices appeared to have been developed in conjunction with district directives, but tailored to the needs of the individual school. The practices that were found in all three types of sites are shown in Column 3 of Table VII-1.

This third dimension did not draw from any previously stated theory, as with school effectiveness or excellence. Yet, the dimension covers an administrative facet not articulated by either of the other two theories--i.e., district-school co-management. Because of the relative newness of attention to this topic, further research to corroborate the most important practices needs to take place.

B. Managing Urban High Schools: Three Themes

The findings from our study support the notion that at least three themes need to be covered by any policy guidance for managing exemplary urban high schools. These are guidance covering:

- Instructional management;
- Organizational management; and
- District-school co-management.

A list of specific practices was shown in Table VII-1, under each of these three themes. Until now, the empirical study of urban high schools has been much more limited. Yet, both the complexity of the secondary school as an organization and the importance of district policymaking have created the need for this multifaceted, three-fold approach.

In fact, much more research needs to be done to understand the high school as a complex organization. To our knowledge, previous research has not attempted to deal with at least three critical features of the high school as a complex organization:

1. Its several layers;
2. The complexity of authority relationships between department heads and assistant principals; and
3. The tension between centralized control and the autonomy of either departments or teachers.

Such research should not be considered merely a matter of documenting and explaining the current status of schools. Rather, the research should be designed to help produce better models of how to organize high schools in the future. For instance, if a matrix organization is

not a desirable pattern of organizing (as stated in excellence theory), what are the alternatives for high schools?

Similarly, the rise in importance of the district in school affairs and the more complex relationships that have emerged between districts and secondary schools deserve much further attention. Although high schools may have operated with great autonomy in the past, such an arrangement appears to be occurring with less frequency and may now in fact be less desirable. However, neither is the opposite arrangement--whereby districts mandate school conditions on a district-wide basis--necessarily the only other alternative. In between these two extremes, as our findings have suggested, are a variety of collaborative arrangements that may be beneficial to both the district and the high school. As but one aspect of the collaboration, the entire matter of the teamwork between a superintendent and a principal does not seem to have received much attention in empirical research, and research could again be helpful in developing and identifying the more desirable variants in this relationship.

C. Conclusions and Further Research

Conclusions

The research objectives of this study focused on the high school but deliberately differed from previous efforts in the following sense:

- Attention was directed at comprehensive high schools in large urban areas, with eligible schools having significant proportions of minority and low-income students;
- The schools had known and sustained exemplary performances over a three-year period; and
- Emphasis was placed on the management practices that could be pursued by district and school administrators, and not either a) the incoming characteristics of the students or b) the instructional strategies used by teachers in the classroom.

Under these conditions, the first major conclusion from the study is that management practices can affect school performance, over and above the apparent effects attributable to the native skills of the students or teachers at the school. Such practices include a variety of initiatives that can be undertaken by the school or by the district and school collaborating with each other, and the effects of these practices are frequently ignored by those who are only concerned with classroom practices.

A second conclusion is that the relevant management practices cover three themes: instructional management, organizational management, and district-school co-management. None of these three themes, alone, covers the variety of conditions found in complex organizations such as urban high schools, and the development of any policy guidance must include a concerted effort to deal with all three themes. Especially important is the broadening of traditional educational theory (represented by school effectiveness theory) to include

practices accounting for the complexity of the high school as an organization and its active partnership with the school district.

A third conclusion is that the specific management practices include actions to be taken in five realms--i.e., those dealing with:

- The principal and other school administrators;
- The school;
- Teachers and students;
- The community; and
- The classroom and curriculum.

The identification of the specific practices have been the topic of Chapters IV, V, and VI, and have been summarized in Table VII-1.

This list of practices may be considered the policy agenda that would be recommended from the present study, if school administrators are trying to produce exemplary urban high schools. Because the list includes 28 different kinds of practices, the agenda may take a considerable time to be implemented. However, these are the practices that were found in relation to schools with exemplary records over a sustained period of time. Note, too, that the list is not intended to serve the purpose of a potentially shorter, more critical list of actions that might be immediately taken if the goal is to turn around a poorly performing school.

Further Research

Further research would be helpful in at least four ways. First, nothing in the threefold framework of the present study appears to limit it, inherently, to urban high schools. A similar framework should also apply to other exemplary high schools--e.g., those in suburban school systems. Because such schools have an even higher degree of exemplary performance than urban schools, an examination of the relevance of the 28 practices in these other settings would provide

an important test of the current findings. Further research should therefore attempt to extend the current framework to settings other than the urban high school with high percentages of low-income and minority students.

Second, several of the practices are still correlates or school conditions rather than practices (e.g., a safe, orderly school climate). The specific practices that produce these conditions should be investigated and delineated, so that the final list of practices in fact represents a list of actions that can be taken by school or district officials.

Third, a direct comparison should be made between exemplary and turnaround secondary schools, and the practices associated with these two conditions. The direct comparison would provide, for the first time, a clarification of the practices that might be more critical to one situation as opposed to the other.

Fourth, the emerging theme of district-school co-management needs much further attention. Potentially, this is a significant theme for managing high schools. However, little is known about the extent of co-management or its relationship to other levels in the educational hierarchy--e.g., state mandates. What we do feel is that many urban school superintendents and principals have begun a new era of collaboration in dealing with school problems, different from the traditional themes of school autonomy and district mandates. Whether this is a passing fancy or an important functional change in district-school relationships remains for future research to investigate.

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Appendix A

FIELD GUIDE FOR INTENSIVE SITES

FIELD GUIDE FOR INTENSIVE SITES

General goals of case studies:

1) to identify school practices and district policies that lead to excellence or school effectiveness; and

2) to test propositions about these practices and policies, based on excellence or effectiveness theories.

A. SCHOOL AND DISTRICT CHARACTERISTICS

1. Eligibility Criterion for Selecting Case. We will increase the potential for generalizing the results by including urban high schools with variations in:

-the racial/ethnic composition of the students over the past three years, including the proportion of limited English-speaking (or non-native English-speaking) students, for the district's secondary schools and the target and comparison school; and

-the student enrollment of the district's secondary schools and the target and comparison school for three years.

2. Eligibility Criterion for Selecting Case. We are selecting schools that have a minimum of 30 percent low-income students. This is reflected by such information as:

-the percent of low-income students in the school over the past three years;

-the percent of low-income students, districtwide, at the same grade level; and

-the percent of students in the school at varying income levels as compared to other district high schools.

3. Effects of District Policies Regarding Student Intake. We expect that any changes in the school boundaries or methods of enrolling students will affect student intake, and possibly school outcomes. To examine this possibility, please trace:

-the geographic boundaries or zones of the school, including any changes over the past ten years, as well as the decision-making process for such changes--reflecting either district or school policies (be sure to obtain maps); (Q28)*

-other changes in enrollment, due to change in admission practices--e.g., open admission, magnet school or other special programs (and whether these were school or district initiatives); and

-the affect on student composition created by the boundary or enrollment changes, shown by the racial/ethnic composition or SES of the student body.

4. Effects of Role of Community. We would expect that the extent of community support for education, parent involvement in the school, and community efforts to obtain professional accountability are factors in excellence. (P18)** For example:

-reports on the degree of community/parent support for education, and their expectations for their children's performance;

-evidence of participation in parent-teacher organizations, parent volunteers, or advocacy for school;

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*Q=Cross-reference with Phase Three Question.
**P=Cross-reference with Excellence or Effectiveness Proposition.

-specific areas in which parents are involved in the school (setting goals, evaluation, students rules/rights, funding, staff selection, curriculum); and

-method(s) of providing input and feedback on school and district decisions and school performance.

5. Effects of School Tradition. We expect that a school tradition based on one or more distinctive aspects of the students, staff, or building contribute to current student outcomes. The aspects of the tradition may include: (Q29)

-record of high academic performance by students;

-leadership by outstanding and memorable principal(s);

-school building which is often cited by students, staff, and community for its historic value or unique quality of facilities;

-teaching staff which is highly renowned in the community; and

-outstanding record of co-curricular student performance--e.g., band, chorus, athletics, debate, etc.

In turn, we expect certain aspects of this tradition to have been produced by specific district or school policies, and not simply by natural happenstance. Such policies may include:

-appointment of especially outstanding principal, with known prior reputation;

-establishment of distinctive curriculum within the district;

-deliberate design of unusual or distinctive school building; and

-provision of special extra-curricular resources to encourage distinctive development of such activities.

B. SCHOOL LEADERSHIP AND ORGANIZATION

School Leadership

For all of the topics below, district policies can play an important role. Thus, for each topic, ask whether there have been any district directives or communications along the prescribed lines (this overall theme is illustrated with the first topic only, but should be applied to all topics).

1. We would expect the principal to have few barriers to direct communication by any member of the staff [and find some indication of district training, policies, or other communications regarding the desirability of the following types of practices]--e.g.: (P1)

- -few gatekeepers for getting on the principal's calendar; (Q12)
- -little use of assistant principals as intermediaries in a "chain of command;"
- -few physical barriers, such as a secluded office location or awesome entrance way;
- -direct communications, such as answering one's own phone upon occasion; and
- -reports by lower members of the staff--e.g., maintenance workers--that they have had conversations with the principal.

2. We would expect the principal (or district) to have developed specific procedures or practices for streamlining the routine administrative operations, including innovations such as: (P3)

- -a one-page memorandum, or highly simplified forms; (Q17)
- -informal small-group gatherings in his/her office on a routine basis;

-frequent use of task forces or working groups that are problem-specific and short-lived;

-a flexible or innovative time schedule for administrative activities (as opposed to classroom schedules); and

-development of some innovative vocabulary that emphasizes simplicity or directness of action.

3. We would expect the principal to exhibit clear and direct knowledge about all aspects of school operations, by doing such things as: (P1, P5)

-serving in some instructional capacity--e.g., as a substitute teacher--routinely;

-participating in or attending extra-curricular activities; (Q15)

-eating lunch, using the bathroom, and conducting other daily activities in ways that maximize contact with students and staff;

-being out of the office and in the corridors and other public spaces of the school in a flexible, unscheduled, and informal manner; (Q13)

-meeting with teachers and counselors on a daily basis; and (Q11)

-having knowledge (during an interview) of specific students and members of the staff, and being able to report incidents in a first-hand manner.

4. We would expect the principal (or district) to have developed, communicated, and enforced a clear set of academic and student-oriented norms (basic priorities), including high expectations for all students, and a set of performance-related goals for the school and staff, with the following types of events reported to the field team: (P5, P12, P14, P19)

-interviews with staff members reveal a set of specific educational goals for the school year and staff are able to identify the source of the goals; (Q19)

-evidence of specific school rules and norms to address behavior problems and clearly stated disciplinary actions when behavior (by students or staff) has deviated from some clear norm;

-evidence of staff consistency in level of expectations for all students; and

-existence of a specific school "spirit" (defined by the principal), typically embodied in some concrete form--e.g., a principal's newsletter, a school insignia, a slogan or some other ritualistic behavior.

5. We would expect the principal (or district) to provide instructional leadership or facilitate instructional improvement, by doing such actions as: (P9)

-selecting staff to meet the norms and instructional needs of the school;

-frequently observing classrooms and consulting with individual teachers; (Q16)

-being directly involved in the monitoring and evaluation of teachers' performance;

-acting as leader or actively participating in aiding staff development;

-providing clearly-stated standards and expectations for teachers;

-constantly identifying ways to effect school improvement, willingness to be innovative; and (Q14)

-demonstrating visible commitment to instructional goals, student progress, and high expectations.

6. We would expect the principal (or district) to lead by being an advocate for the school with the district and community. (P1) For example:

-frequently seeking district support and resource commitment for school initiatives; (Q18)

-communicating staff and student needs to district level, and working to fulfill them; and

-initiating methods of increasing parent/community involvement and staff accountability to the community.

7. For the six questions in this section, use the matrix on the following page to list the specific, distinctive behaviors that represent the responses to these six questions.

PRINCIPAL (School) \ SUPERINTENDENT (District)	Directive	Facilitative	Passive/Uninvolved
Directive			
Facilitative			
Passive/ Uninvolved			

A-8

School Organization

This section again has the potential for revealing underlying district policies or procedures, as guidance for how a school should be organized. Thus, wherever one of the features listed below is identified, be sure to ascertain whether there has been any district guidance on the topic.

8. We would expect the organizational structure of the school to be simple and flat, with operating units having large areas of responsibilities. (Show an actual organization chart of the school.) The characteristics might include: (P7)

-having few special assistants or administrative staff persons reporting directly to the principal (give number of administrators and number of certified staff);

-having few professional staff devoted solely to administrative functions--i.e., those having no contact with students;

-allowing academic departments to operate autonomously, with resources and decision-making authority, or some other type of line units headed by assistant principals; and

-minimizing the stresses created by matrix organizations--e.g., grade level structures competing with academic departments.

9. We would expect the school's decision-making patterns to reflect simultaneous "loose-tight" properties, including a mixture of centralized and decentralized patterns, such as: (P8) (Q20)

-small decision-making units--e.g., the full faculty would rarely make important operational or policy decisions, though it might ratify decisions made by working groups;

-authority for certain budget expenditures, personnel, or student policies to be found centralized and under the principal's control;

-high teacher participation in curriculum decisions and development of curriculum; and

-organizational rules and procedures set and enforced by departments.

These types of situations are to be investigated by covering the following matrix and recording specific practices in the appropriate cells.

For the following areas of decisionmaking and actions, indicate specific behaviors which show the central role of one or more of the possible individuals in each area:

Decisions/Actions	Principal	Assistant Principal	Department Head	Teacher	Superintendent/ District
1. Staff selection and assignment					
2. Course offerings					
3. Teacher schedules					
4. Curriculum design and changes					
5. Selection of text-books, materials					
6. Budget for sup-plies, materials					
7. Staff development activities					
8. Procedures for disci-pline, tardiness, attendance					
9. Schoolwide goals and objectives					
10. Student assessment and testing					
11. Teaching methods, activities					
12. Staff evaluation					

C. STAFF ROLES AND DEVELOPMENT

1. We would expect that teachers and other professional staff are recruited, hired and assigned to meet the existing norms and goals of the school [also specifying unique department role], as indicated by: (P4)

- -the principal having a significant and consistent role in selecting staff--i.e., not assigned from the district;
- -the use of specific recruiting and hiring criteria for the school;
- -the establishing of teaching and staff assignments in conjunction with consultation with department heads, or other staff, and in accordance with the curriculum and instructional plan;
- -a low rate of teacher turnover on an annual basis;
- -the accession of few new teachers per year; and
- -a high degree of staff satisfaction (compared to the experiences or reports of colleagues in other schools).

2. We expect that school administrative and managerial procedures are streamlined to protect the professional staff's time for teaching and planning, and to protect professional autonomy [evidence of any guidance from district policies or department initiatives along these lines--e.g., promotion of academic learning time--would also be revealing]: (P3, P15)

- -few class interruptions with announcements, coming and going from class, or school management tasks; (Q4)
- -a staff planning hour(s), used for teaching preparation, colleague meetings, or professional matters; (Q1)

-staff do not have to submit daily lesson plans to administrators;

-the anticipation of most management issues and matters, by systematic school procedures --e.g., procedures for discipline, tardiness, approvals, etc.; and

-the use of administrative staff--e.g., aides, clerical, or students-workers, to assume teachers' administrative tasks.

3. We expect to find that staff have frequent formal and informal interactions, concerning professional improvements, curriculum, teaching methods, questions, etc., including such events as the following [again, indicate any role of departments or the district]: (P4, P17)

-formal staff development programs or training; (Q2)

-the periodic, formal meeting of teacher departments and other teacher groups, for curriculum development, teaching skills improvement, or other professional purposes (distinguish from meetings for administrative purposes--e.g., the setting of schedules); (Q10)

-specific examples of any practices, initiated by an individual teacher or two, that has been implemented on a schoolwide (or beyond department) basis; (Q3)

-the occurrence of informal discussions in the teachers' lounge, rooms, halls, etc., that have profesional-related content and positive tone--e.g., how to deal with a problem, not how bad things are; (Q8)

-staff-initiated sharing and self-help groups;

-reports by staff that they do not feel "left alone to do their job;" (Q9)

-the initiation of staff development topics and structure, based on an assessment of staff needs;

-amount of "release time" provided by district or school for curriculum planning and staff development activities; and

-the expression, on the part of teachers, of a sense of "collegiality" with other teachers and administrators, as a strength of the school.

4. We expect that staff will be systematically monitored (more than once a year) on instruction and given feedback that addresses school goals and is designed to help improve their skills [the district may have initiated and emphasized assessment innovations, such as a "Peer Supervision Program," or teacher or principal evaluation procedures], such as the following: (P4, P16)

-regular staff identification of areas to improve upon, with these areas becoming part of the evaluation and staff development process; (Q6)

-frequent peer assessment and feedback involving technical areas;

-regular principal or administrator assessment (involving classroom supervision), and feedback on school-level goals and how they can be attained; (Q5)

-any type of incentive pay for teachers; and

-specific district- or school-initiated awards and recognition for teachers. (Q7)

D. CURRICULUM ORGANIZATION AND DELIVERY

1. We expect that the organization of curriculum and teaching methods allows for innovation and variation to meet student needs. Again, some of the important initiatives may have been due to district policies--e.g., the development of Woodson's business program on the part of the D.C. LEA. Thus, wherever some distinctive aspect of the curriculum or teaching methods has been identified, indicate the source of the ideas, and the role that the school, department, or district played in design or implementation. The types of curriculum topics include: (P3, P22)

-new courses or programs established to meet student needs and interests, as assessed by the school;

-evidence of teaching methods and techniques adapted to subject matter, student needs, and lessons;

-evidence of school resourcefulness in using staff skills and abilities to their fullest in curriculum development;

-opportunities for students to specialize and carry out in-depth study based on career, academic, or curiosity interests;

-evidence of the creative use of expertise and resources from the community, district, or other institutions; and

-the development and utilization of opportunities for experiential learning, career development, and vocational training in the community.

2. We expect the curriculum to emphasize a few, key subjects and to de-emphasize a wide diversity of course choices. [Look for district and school initiatives on curriculum requirements, objectives, and competencies.] The curriculum features include: (P6, P11, P21)

-academic requirements at each grade level (existence of promotion policies); (Q22)

-a narrow range of courses to satisfy requirements; (Q21)

-core curriculum decisions reflecting competencies development--e.g., reading, writing, thinking, and communicating;

-a core curriculum that establishes standards for improving students performance at all levels; and

-evidence of schoolwide objectives, e.g., textbook adoptions, standardized tests, homework, course and lesson objectives.

3. We expect to find that the curriculum is organized and implemented to ensure high standards and quality control. [Specific standards may, of course, also have been set and transmitted by district policies.] The following types of features would be relevant: (P13)

-the existence of a schoolwide system of measuring the competencies gained through courses;

-the systematic monitoring of grades across courses and teachers, to assess competency-grade matches and to reduce social promotion; and

-evidence of change in teaching materials, strategies or methods based on assessment against school standards.

4. We expect that classroom observations will give evidence of the actual implementation of the above policies, through specific classroom management, curriculum, or teaching practices. [Include completed Classroom Observation Forms.] (P8)

CLASSROOM OBSERVATION FORM

DISTRICT: _____ DATE: _____
SCHOOL: _____ OBSERVER: _____
COURSE: _____
COURSE LEVEL: _____

Directions: 50 minute observation period, and 10 minute follow-up interview with teacher to check some items if necessary.

Observation Items

_____ 1. Number of students in class

_____ 2. Number of minority students by racial/ethnic group:

_____ Black _____ White
_____ Hispanic _____ Asian
_____ other (specify: _____)

_____ 3. Availability of required text(s)
[3=all have text(s); 2=over 80 percent; 1=80 percent or less]

_____ 4. Availability of other instructional materials and equipment--e.g., lab tables, microcomputers, science supplies, reading materials
[3=high; 2=some; 3=none]

_____ 5. Proportion of class period not devoted to teaching due to external interruptions
[3=five min. or less; 2=five to 10 min.; 1=more than 10 min.]

_____ 6. Proportion of class period not devoted to teaching due to internal interruptions--e.g., behavior or non-instructional announcements
[3=five min. or less; 2=five to 10 min.; 1=more than 10 min.]

_____ 7. Percentage of period devoted to following activities:

___ a. individual seatwork ___ b. lecture (explain)
___ c. discussion ___ d. demonstration
___ e. group work ___ f. test taking
___ g. other (specify: _____)

_____ 8. Proportion of students demonstrating "on-task" activity (as defined in number 7) during the class period
[3=all students; 2=over 70 percent of students; 1=less than 70 percent of students]

_____ 9. Number of students absent or leaving early due to extra-curricular or non-instructional reasons

_____ 10. Teacher uses school norms and rules to reinforce class discipline
[2=yes; 1=no]

Name five specific aspects of classroom management, curriculum, or teaching behavior you would expect to find in the classroom due to information about district, school, or department policies or directives--e.g., use of course/lesson objectives, or specific methods of implementing objectives. (Indicate the source of the policy--district, school, department--for each.) Rate each aspect according to its occurrence or existence in the classroom.
[3=high; 2=some; 1=none]

_____ 11.

_____ 12.

_____ 13.

_____ 14.

_____ 15.

Name any specific classroom management, curriculum, or behaviors you find in the classroom that are substitutes or variations of the specific aspects resulting from policies and directives that are listed above.

_____ 16.

_____ 17.

_____ 18.

_____ 19.

_____ 20.

E. STUDENTS

1. We expect to find that students have individual program plans to meet defined academic and career goals. [The requirement for such plans may have been a result of district policies.] Examples might be: (P2)

-students are able to choose courses each year (or semester), based on their interests and needs at that time, with aid from a counselor or teacher, and program plans are developed or revised if necessary; (Q26)

-all students are systematically counseled or checked (documentation), to ensure progress toward graduation and the satisfaction of basic core curriculum requirements; and (Q27)

-the availability, and delivery, of counseling does not differ for college and non-college bound students.

2. We expect that student testing and evaluation is organized and used to assess progress on school performance goals. [district policies may have mandated the specific types of tests or simply that some testing be done.] Examples would be: (P2, P13)

-tests and grading are used on a frequent basis by teachers and counselors to determine student progress and identify curriculum areas that need improvement; (Q23, Q24)

-students receive regular feedback on learning progress, beyond a grading period and more extensive than a letter grade; and (Q25)

-students have a clear understanding of grades based on the school and course standards.

3. We expect the school to have systematic and regular methods of giving recognition to students for performance. [district policies may have facilitated or created such recognition programs.] These might include: (P2, P16)

-periodic recognition of students with high achievement, based on school goals and not just at the end of the year;

-recognition of individual accomplishments on an ad hoc basis in all areas of performance;

-a high number or college scholarships and other academic awards, as compared to other high schools in the district;

-recognition of students based on progress and accomplishments at their level, not just recognition of the highest achievers; and

-frequent recognition and encouragement on an informal basis, by teachers and administrators.

4. We expect that students have mechanisms for influencing school policies and the decisions affecting them. Some of these influences may also be shared with the parents or community at large, and include: (P2, P23)

-evidence that student governance bodies have a real role in school decisions concerning students;

-opportunities are available for students to make input to curriculum decisions; and

-school administrative practices encourage listening to students and obtaining feedback on the effects of decisions.

5. We expect that the school has developed various programs, learning opportunities, activities, and services to meet students' needs. [Some of these programs may have been mandated by district policies or may be provided by the district directly.] Examples include: (P2)

-the availability and frequent use of student support services--e.g., personal counseling, drug programs, child care, special education, and adolescence and pregnancy counseling;

-programs to improve student study skills;

-school programs or methods to address attendance and dropout problems;

-sufficient remediation in basic skills and a systematic approach to identifying needs;

-availability of job training, career development services, and work experience programs for students;

-availability of honors, advanced placement, and higher level courses; and

-a high level of participation in extracurricular activities and academic-related contests/competitions.

6. We expect that the school provides ways in which students' individual identities, aspirations, and activities are enhanced: (P10, P17)

-methods of "decreasing school size" as it affects students--e.g., the use of homerooms as a home-base, some type of house system, peer support groups, etc.;

-students know what courses, program, or career they want, and what will be needed to obtain it;

-students report that teachers and staff have high expectations for them;

-existence of school program to raise the academic achievement of students at all levels, a clear commitment of time, staff, and resources;

-students identify at least one positive part of their program with which they feel personally rewarded;

-student reports confirm a client orientation on the part of teachers and administrators; and

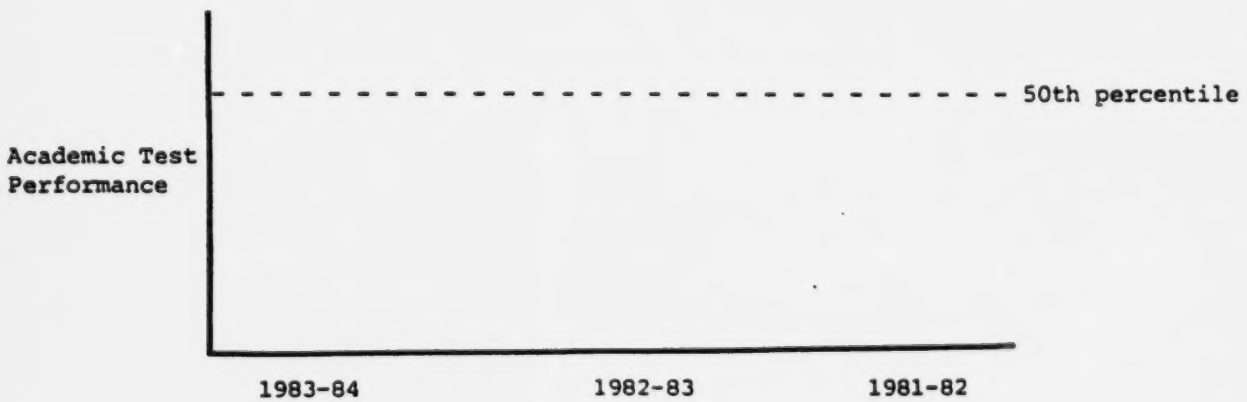
-teachers and administrators are often observed interacting with students informally and in a positive, educational manner.

F. SCHOOL OUTCOMES

For each quantitative variable, collect data on the target school, comparison school, and district average for high schools, each over three years: 1982-83, 1981-82, and 1980-81. For each variable, indicate the source of the data, exactly what the data measures, and any necessary information needed to interpret the data.

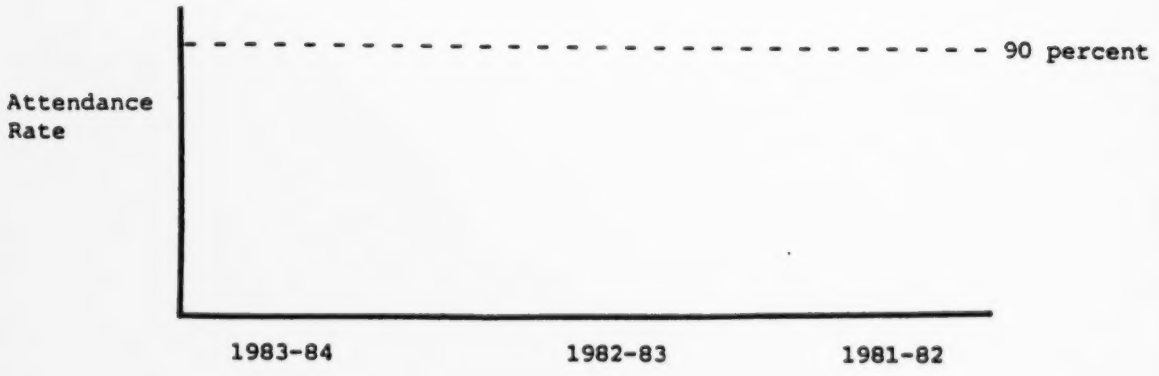
1. We expect to find evidence of exemplary academic performance by all students in the school, as measured by:

-performance among the top 25 percent of urban high schools on average student test scores [provide name of test, composite average score--math and verbal, grade level (10th or 11th), and percentage or number of students taking the test].



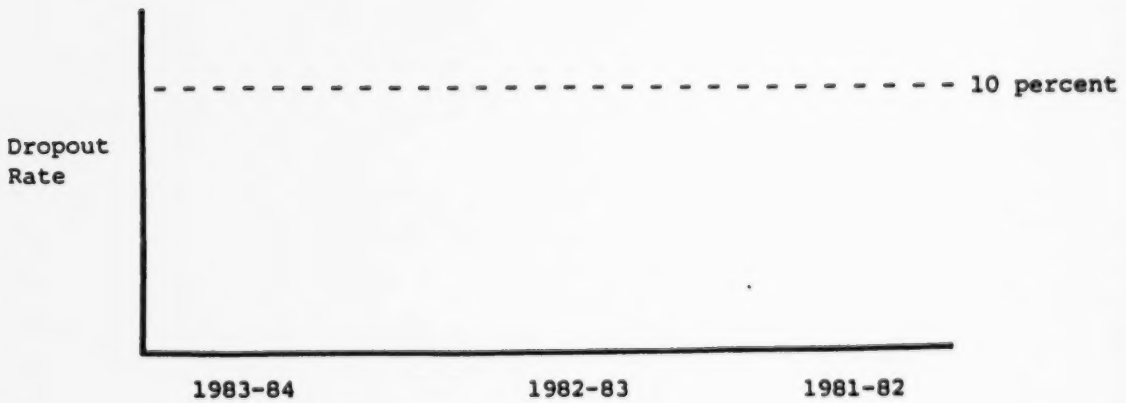
2. We expect the average daily attendance to be high for students and staff, in the following manner:

-student attendance averages over 90 percent and is higher than the district average.

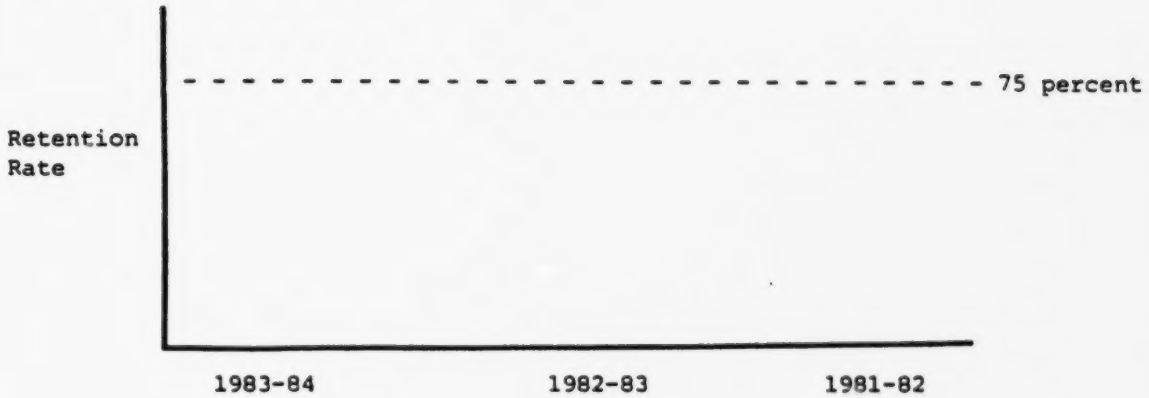


3. We expect that students will be motivated to complete their schooling and increase their educational aspirations, as reflected by:

-a low percentage, 10 percent or below, of student dropouts per year; and

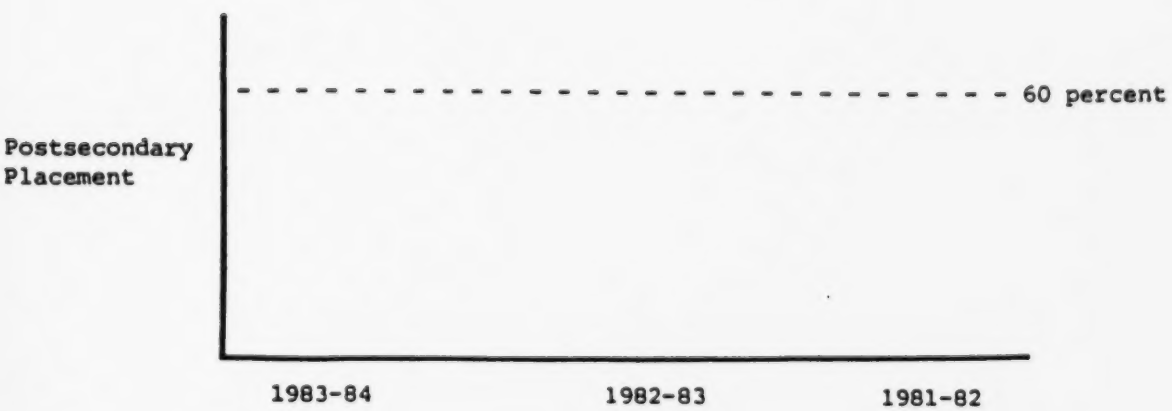


-a high rate, at least 75 percent, of student retention (percentage of students entering 9th grade that graduate).



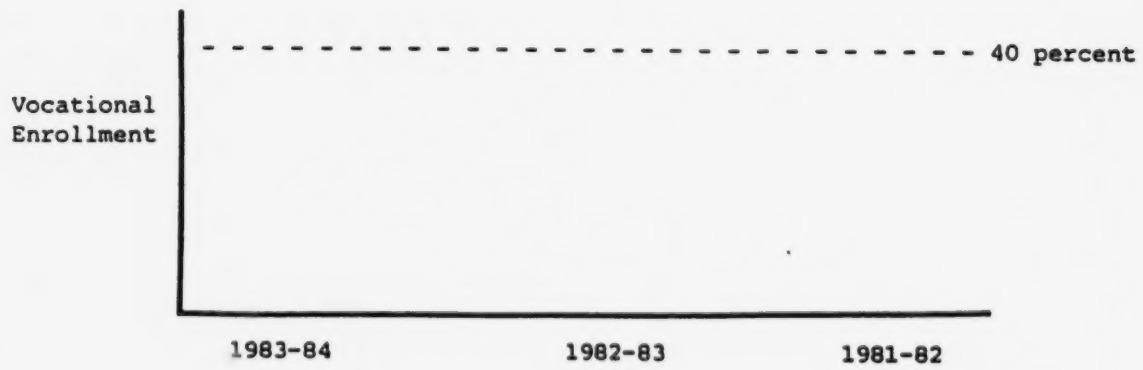
4. We expect that an increasing proportion of students will go on to postsecondary education after graduating from high school, as reflected by:

-rate of at least 60 percent of the students entering: four-year colleges, two-year colleges, or vocational-technical schools (based on estimates or placement records).



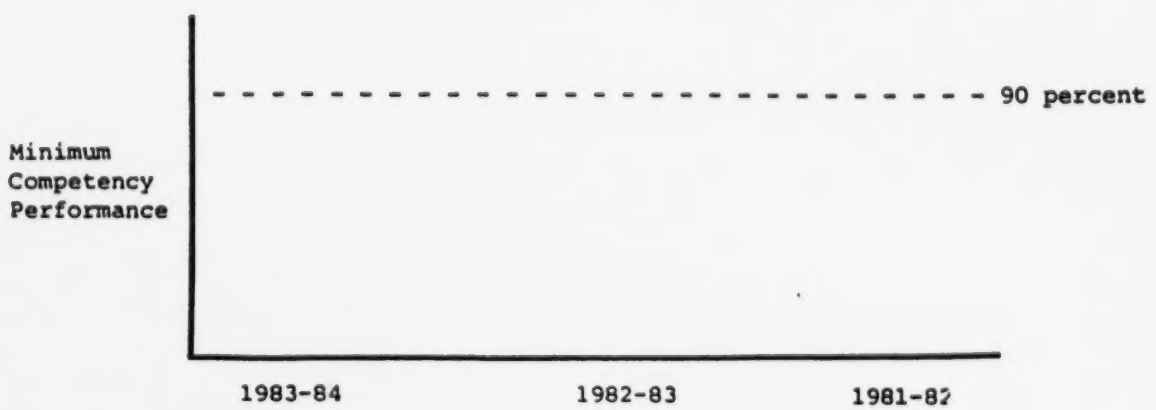
5. We expect that the school will assist increasing numbers of students in job preparation, as reflected by:

-at least 40 percent of students enrolled in vocational education programs, technical or career training centers, and other career-preparation programs (as identified and defined by the district or school).



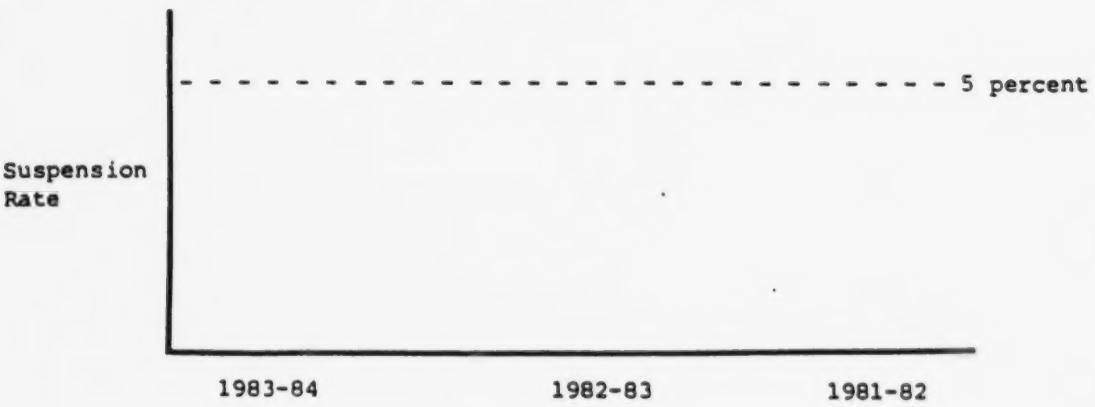
6. We expect that the school curriculum and instruction will increase the ability of youth to function in society, as reflected by:

-at least 90 percent of the students passing a minimum competency test per year [provide name of test, average composite score, grade level, percentage or number of students taking test].



7. We expect that classroom and school behavior will be exemplary, as illustrated by such measures as:

-a low rate, 5 percent or below, of suspensions/explusions related to behavioral problems per year.



8. Complete the following checklist on school outcome variables, to summarize the data collected and displayed in the preceding tables:

	Years of Data (number)	School Outcome Meets Criterion Level (no. of yrs.)	School Outcome Better than District Average (no. of yrs.)
1. Academic Test Performance			
2. Attendance			
3. Dropout Rate			
4. Retention Rate			
5. Postsecondary Placement			
6. Vocational Enrollment			
7. Minimum Competency Performance			
8. Suspension/ Expulsions			

G. SECOND SCHOOL OUTLINE

There are two objectives for visiting a second high school in the same district as the target school. Visiting another school with a comparable student population allows the case study analysis to: a) include a direct comparison of student outcomes for the target school, and b) determine the uniqueness of school practices in the target school, particularly with reference to district policies. The shortened site visit to the second school should accomplish the following:

1. The site team should collect data and information on all student outcomes measures which are being collected for the target school.

2. The site team should conduct interviews with school administrators, teachers, counselors, and students to check for the existence and operation of 5-8 key school practices which have been identified at the target school. Thus, questions should address the second school's organization and practices in those areas the team has intially found to be important in the educational effectiveness of the target school.

3. The write-up of the site visit notes should <u>not</u> have a separate section for the second school. Rather, the evidence should be used in describing and documenting district policies and target school practices, and their effects.

Appendix B

FIELD GUIDE FOR FOCUSED SITES

FIELD GUIDE FOR FOCUSED SITES

POLICY/PRACTICE:_____ Researcher:_____

School:_____ Dates:_____

District:_____

School One

1. Describe the policy/practice in detail. (How does it work? Describe scope of policy/practice, role of school, district, principal, teachers, students, other staff; resources; activities; key participants; curriculum; enforcement; evaluation; etc.)

2. a) What are the goals of the policy/practice? According to whom?

b) What are the outcomes of the policy/practice? In what ways does it contribute to achieving school effectiveness or higher student outcomes?

3. a) What led to the establishment of the policy/practice? (Include educational need, student need, staff initiative, district demands, resources and support)

b) Who designed the policy/practice? Did the policy/practice originate in this school or was it an adaptation or adoption of a policy/practice used in another school? Was it designed by the district?

c) How long has the policy/practice been in existence?

4. a) How was the policy/practice implemented? What was the role of the district in its implementation?

b) Who was instrumental in the implementation of the policy/ practive? Describe the role of the district administrators, principal, teachers, and other staff.

c) What factors, if any, facilitated the implementation?

d) What kind of barriers were there, if any?

e) What are the costs of additional resources needed for this policy/practice?

5. Has there been any effort to track or evaluate the operation of this policy/practice? If so, describe.

6. Describe your personal assessment of this policy/practice. Does it support one of the propositions for school excellence? Is it an important factor in producing the school's outcomes? Can the policy/practice be transferred to another urban high school? If not, why not?

Appendix C

FIELD GUIDE FOR INTERVIEW SITES

FIELD GUIDE FOR INTERVIEW SITES

District: _____

School: _____

Name of Respondent: _____

Title of Respondent: _____

Interviewer: _____

Date: _____

Introduction

(Read to Each Respondent)

My name is _____ and I work for COSMOS Corporation, a social science research firm in Washington, D.C. We are conducting a study for the National Institute of Education to identify ways of increasing the effectiveness of urban secondary schools. As part of the study, we are visiting 32 urban high schools in cities across the country to identify the kinds of school leadership and management practices that are used. We are focusing on comprehensive high schools which have at least 30 percent minority and low-income students. (Name school) has been randomly selected among the schools in this district which meet these criteria.

I am going to ask you some short-answer questions about policies and practices in this school in five different areas: 1) efforts to improve teaching performance, 2) the role of the principal, 3) the process of making decisions related to the school, 4) curriculum requirements and students, and 5) changes in student enrollment patterns. In several of these areas, I will ask about the effect of district policies on the school. Obviously, these topics do not cover all of the factors that might be related to a school's effectiveness, but this study is testing the relationship of these areas of school leadership and management to effectiveness.

Your answers will remain completely confidential, and the information we collect will not be identified with the individual schools. If you cannot answer a question right away, we will go on, and I can come back to it or you can indicate that you don't know the answer.

Do you have any questions? (Pause for questions.)

First, I am going to ask you a few questions about school practices affecting teachers.

9. How often do teachers have a planning period for class preparation (i.e., no other school assignments or duties)?

_____ per week

_____ Don't know

10. Is the number of planning periods decided by the district or school?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ No planning periods

_____ Don't know

11. How often do teachers meet for staff development or inservice activities?

_____ per year

_____ Don't know

12. Is the amount of staff development time decided by the district or the school?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

13. Can you give an example of a change in a school policy or practice over the last year that was initiated by a teacher(s)?

_____

_____

_____ Don't know _____ None

[Ask Questions #69]

14. Can you name any efforts or new practices (in the last two years) in this school to increase "academic learning time?"

_____

_____

_____ Don't know _____ None

15. Is this practice districtwide or school-based?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

[Ask Question #70]

16. How often is each teacher evaluated?

_____ per _____ _____ No evaluations

_____ Don't know

(If the frequency of evaluation varies by teacher experience then give an example.)

_____

_____

17. Is the frequency of teacher evaluation based on district or school policy?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ No evaluations

_____ Don't know

18. Can you give an example of a change in teaching approach or curriculum which resulted from teacher evaluations or from your evaluation?

_____

_____

_____ Don't know _____ None

19. Does either the district or school give awards or special recognition to teachers?

_____ Yes, district _____ Yes, school

_____ No awards _____ Both district and school

_____ Don't know

20. Can you give an example of typical awards or honors received by teachers?

_____

_____

_____ Don't know _____ None

Now I am going to ask several questions about meetings and conferences with teachers.

21. Where do teachers meet informally during the school day or before or after school?

(1)_____

(2)_____

_____ Don't know _____ None

22. When do teachers meet informally to discuss curriculum and instructional matters?

(1)_____

(2)_____

_____ Don't know _____ None

[Ask Question #71]

23. How often are full faculty meetings held?

_____ per _____

_____ None

_____ Don't know

24. How often are department meetings held?

_____ per _____

_____ None

_____ Don't know

25. How often are formal committee meetings held (e.g., faculty advisory, curriculum)?

_____ _____ per _____

_____ _____ per _____

_____ Don't know _____ None

26. About what percent of the time in a typical faculty meeting is spent on curriculum and instruction topics versus administrative matters?

_____ percent

_____ Don't know

27. About what percent of the time in a typical department meeting is spent on curriculum and instruction topics versus administrative matters?

_____ percent

_____ Don't know

28. (PRINCIPAL ONLY) How many formal meetings do you have with teachers in an average week, either individually or in groups?

_____ per week

_____ Don't know

29. How does a teacher go about seeing the principal? (Check one or more)

_____ Walk into office

_____ Set appointment with secretary

_____ See another administrator first

_____ Catch in hall

_____ Other (Specify: _____)

_____ Don't know

Next I am going to ask you several short-answer questions about the role of the principal in the school, i.e., leadership and management activities.
[Note: substitute "you" for "principal" when interviewing principal.]

30. (PRINCIPAL ONLY) About what percent of the day do you spend out of the office, circulating in the halls, classrooms, and other parts of the school?

_____ percent

_____ Don't know

31. (DEPARTMENT HEADS AND TEACHERS) In general, about how much time would you say the principal spends out of the office during the day, circulating in the halls, classrooms, and other parts of the school?

_____ A lot of time

_____ A small amount of time

_____ Hardly any time

_____ Don't know

32. (PRINCIPAL ONLY) How often do you attend or participate in student extra-curricular activities in an average week?

_____ per week

_____ Don't know

33. (PRINCIPAL ONLY) How many teachers do you observe (formally or informally) in classrooms per month?

_____ per month

_____ Don't know

34. (DEPARTMENT HEADS AND TEACHERS) How many times were you observed by the principal (formally or informally) during the last school year?

_____ times

_____ Don't know

35. (PRINCIPAL ONLY) What percent of an average school day do you spend in the office on routine administrative tasks (i.e., paperwork)?

_____ percent

_____ Don't know

36. Can you give an example of a curriculum or instructional innovation which the principal led or initiated?

_____

_____

_____ None _____ Don't know

37. Can you give an example of a request for district support or resources for a school program or activity made by the principal?

_____

_____

_____ None _____ Don't know

38. What are two specific educational goals the principal has emphasized for this year?

_____

_____ None _____ Don't know

39. _____

_____ None _____ Don't know

40. Were these goals set by the district or the school?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

[Ask Question #72]

[Ask Question #73]

Now, I am going to ask you about several types of decisions related to the school, staff, and students.

Please indicate who is most involved in making these decisions (not just signing off on final decisions). More than one answer is possible.

[District=D; Principal=P; Assistant Principal=AP; Department Head=DH; Teachers=T; Students=S; Others=O]

			Don't know
41.	Schoolwide goals and objectives	_____	_____
42.	Departmental spending	_____	_____
43.	Hiring faculty	_____	_____
44.	Teacher scheduling & assignments	_____	_____
45.	Curriculum design & changes	_____	_____
46.	Rules for student behavior	_____	_____
47.	Teacher evaluations	_____	_____
48.	Staff development activities	_____	_____

The next several questions concern the school's curriculum requirements and students.

49. (PRINCIPAL ONLY) What percent of the credits necessary for graduation must be earned in required courses (vs. electives)?

_____ percent

_____ Don't know

50. (PRINCIPAL ONLY) Is this the result of district or school policy?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ No policy

_____ Don't know

51. (PRINCIPAL ONLY) What type of academic requirements must students pass at each grade level in order to be promoted to the next grade (e.g. competencies, credits, grades, specific courses)?

_____

_____ Don't know _____ None

52. (PRINCIPAL ONLY) Are the requirements determined by the district, school, or department?

_____ District _____ School

_____ Department _____ Both district and school

_____ State _____ Other ( )

_____ Don't know _____ None

53. (PRINCIPAL ONLY) Does the school have annual standardized achievement testing?

_____ Yes

_____ No

_____ Don't know

(What is the name of the test used?)

_____

54. (PRINCIPAL ONLY) Is the test selected by the district or school?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

55. Is there schoolwide curriculum-based testing (including department-developed tests)?

_____ Yes, in all subject areas

_____ Yes, in some subjects

_____ Yes, in one or two subject areas

_____ Yes, in pilot stage

_____ None

_____ Don't know

56. Is the curriculum-based testing the result of district or school policy?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

Are achievement or curriculum-based test results used for:

	Ach.	Curr.	Neither	Don't Know
57. Individual feedback to students?	____	_____	_____	_____
58. Curriculum revision	____	_____	_____	_____
59. Planning by teachers	____	_____	_____	_____
60. Setting specific annual school goals	____	_____	_____	_____

61. (PRINCIPAL ONLY) Is there a school policy on students regularly meeting with a counselor? (Indicate the policy)

_____

_____

_____ Don't know _____ None

62. (PRINCIPAL ONLY) Are the counselors required to keep records of each session with a student?

_____ Yes

_____ No

_____ Don't know

63. (PRINCIPAL ONLY) Is the policy regarding counseling records a district or school policy?

_____ District _____ School

_____ State _____ Both district and school

_____ Other ( ) _____ None

_____ Don't know

The last group of questions is related to factors affecting the enrollment of the school.

64. What type of changes, if any, have occurred in school boundaries or zones or other enrollment changes, in the last 10 years (e.g., open admissions, voluntary enrollment)?

_____

_____

_____ Don't know _____ None

65. In what year did the change occur?

_____

_____ No change

_____ Don't know

66. How did the change affect either the racial/ethnic or socio-economic composition of the student body?

_____

_____

_____ No change

_____ None

_____ Don't know

67. Can you name <u>two</u> unique aspects of the tradition of this school which tend to attract parents and students?

_____

_____ None

_____ Don't know

68. _____

_____ None

_____ Don't know

- -

69. How has the change in school policy or practice affected your teaching practices or behavior in the classroom?

_____

_____

_____ None

_____ Don't know

70. How have these new efforts or practices to increase "academic learning time" changed what you do in the classroom?

_____

_____

_____ None

_____ Don't know

71. How often do you meet informally with other teachers to discuss curriculum and instruction matters?

_____ times per month

_____ Don't know

72. How have these specific educational goals changed your teaching practices or behavior in the classroom?

_____

_____

_____ None

_____ Don't know

73. Can you give an example of an activity or practice in the school that demonstrates that the staff has "high expectations" for all students?

_____

_____

_____ None

_____ Don't know

That completes my questions. Thank you very much for your time. Your answers have been very helpful and are important to the success of this study. As I mentioned, your answers will remain completely confidential.

Appendix D

PRACTICES AT FOUR INTENSIVE SITES,
REFLECTING PROPOSITIONS FROM EXCELLENCE THEORY

PRACTICES AT FOUR INTENSIVE SITES,
REFLECTING PROPOSITIONS FROM EXCELLENCE THEORY

A. HAVING A BIAS FOR ACTION

Proposition 1: We would expect the principal to have few barriers to direct communication by any member of the staff (or students).

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The principal wanders around, makes numerous informal observations of classrooms and other school areas. His office is accessible and barrier-free, being located just inside the main doors to the school office. The district superintendent, regional superintendents, and district staff also make numerous visits to the school and classrooms.

Site B: The principal makes himself easily accessible, with a constant flow of activity through his office. The principal answers his own phone, wanders around the school, and eats lunch in the staff cafeteria.

Site C: The principal is not very visible to the staff and students, and does not make many classroom observations. Staff communication with the principal is through vice-principals and a "chain of command" pattern.

Site D: The principal is not accessible, either in the physical layout of his office or through direct contact. The principal is rarely out of his office (e.g., does not even visit the teachers' lounge), and staff must work through the vice-principal and deans before making contact with the principal.

Proposition 2: We would expect the principal (or district) to lead by being an advocate for the school in relation to the district and the community.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The principal argues vehemently in the assignment of personnel, seeks and receives supplies and textbook allocations beyond those initially given by the district. The principal also boosts community reputation of the school by calling attention to student awards and other accomplishments.

Site B: The principal works with the community, in part by using an active school-community council. This has resulted in the acquisition of resources for the school, including physical improvements to it. The school also took the lead in installing an on-line attendance system, which the district is now considering for adoption on a district-wide basis.

Site C: The principal has taken no distinctive initiatives, with regard to the district or the community.

Site D: The principal has taken no distinctive initiatives, with regard to the district or the community.

Proposition 3: We would expect the principal (or district) to have developed specific procedures or practices for streamlining the routine administrative operations.

Summary:
Site A: Supported
Site B: Not Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: Most of the routine operations are delegated to three assistant principals, thereby freeing the principal to attend to other matters.

Site B: The district has taken new initiatives to reduce the administrative time of its principals. However, these do not explain the previous performance of the school. Task forces and workgroups have been used in the past, but in general no clear procedures or practices could be identified.

Site C: No specific procedures or practices, initiated by the

school or the district, could be identified of this nature.

Site D: No specific procedures or practices, initiated by the school or district, could be identified of this nature.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices (from one or two schools only):

-Principal spends time daily in hallways, lunch rooms, and classrooms;

-Principal delegates administrative tasks to assistant principals, minimizing the time he spends in his office.

B. BEING CLOSE TO THE CUSTOMER

Proposition 1: We would expect to find students with individual program plans to meet defined academic and career goals.

Summary:
- Site A: Supported
- Site B: Supported
- Site C: Not Supported
- Site D: Supported
- Overall: **Not Supported**

Site A: Counselors must meet with each student at least twice a year, appear to give considerable guidance in selecting courses. Although much emphasis is on college-bound, school developed an information packet for all seniors, pointing to college and noncollege opportunities. Information packet is now used district-wide.

Site B: District has supported extensive guidance services, with counselors having low proportion of students (160 per counselor) and trying to see each student twice a year. Moreover, there is a special vocational counselor who works on pre-employment skills and job placement.

Site C: Counselors are burdened with paperwork and are unable to see students even once a year (nor is there any policy that they should do so). Most counseling is spent on master scheduling and crisis counseling.

Site D: District began policy, more than five years ago, assigning counselors by grade and thereby reducing previous overemphasis on seniors. Counselors help in course selection and are considered very accessible, although a few students are still not seen by them.

Proposition 2: We would expect that student testing and evaluation is organized and used to assess progress on school performance goals.

Summary:
- Site A: Supported
- Site B: Supported
- Site C: Not Supported
- Site D: Supported
- Overall: **Not Supported**

Site A: The results of student testing are used to highlight the school's progress toward academic goals. The test results are not available soon enough to guide the course selections of individual students.

Site B: Achievement test scores are reviewed, and the district also has standardized the tests given in each department. Performance is reviewed in assessing school performance and in giving regular feedback to students.

Site C: The school has no competency-based testing, and the achievement tests are only given to a random sample of students. The test scores have not been used to assess school performance, but the district is currently changing these arrangements.

Site D: The principal, counselors, and department heads use achievement test scores and basic skills test results to evaluate the school's performance, also attempting to cite ways in which the school can improve in the future.

Proposition 3: We would expect students to have mechanisms for influencing school policies and the school decisions affecting students.

Summary:
Site A: Not Supported
Site B: Not Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The student council is active, but only over traditional activities such as homecoming, sports assemblies, and alumni activities. There is no evidence that the student council or any other student group is involved in any decisions regarding curriculum, instruction, or discipline policies.

Site B: The student council is extremely active, meeting daily and having an office in the school's administrative suite. Students are elected but also can volunteer to serve on the council if they will attend regularly. In addition, students make all public address announcements. However, none of the student activities are directed at curriculum or instructional matters.

Site C: Students participate as part of a school improvement committee, which also has parents and teachers on it. However, the role and outcomes of this committee have not been clear.

Site D: The student council and other types of student groups are only involved in traditional activities, not with any school decisions.

Proposition 4: We would expect the school to have developed various programs, learning opportunities, activities, and services to meet students' needs and enhance their individual identities.

Summary:
Site A: Supported
Site B: Not Supported
Site C: Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The phase elective system and diversity of available courses are viewed as the main ways of catering to students' needs. Each department also has regularly scheduled "help" days for students, and the school has a career resource center used by students. Finally, the district holds a hiring fair for its high school students.

Site B: Although the school has a high dropout rate, there is no effort to prevent this from occurring. The school has no other distinctive services, although it does offer the largest number of competitive sports in the district, with a clear goal of providing students with more opportunities to excel.

Site C: The school focuses mainly on its attendance problem by developing special orientation and motivational activities. In addition, opportunities are offered for remedial skills and individual counseling, for at-risk 9th graders, and there is an enrichment center for potential dropouts.

Site D: There appear to be no special activities or services.

Proposition 5: We would expect the school to have systematic and regular methods for giving recognition to students for performance.

Summary:
Site A: Supported
Site B: Supported
Site C: Supported
Site D: Supported
Overall: **Supported**

Site A: The school has an expectation that students will enter academic competitions and that teachers will act as coaches. Any awards are highly publicized, to bring added recognition to the school. The school has initiated special events, such as an Honor's Banquet (now adopted by other schools in the district), to give recognition to students.

Site B: The school holds honors day program that tries to recognize as many students as possible for as many accomplishments as possible. Winners of the daily trivia and weekly math puzzle are announced on the public address system. Students are encouraged to enter contests.

Site C: Recognition efforts go toward the average student, with personal letters of recognition to 9th graders with 3.0-4.0 averages. The principal also holds special events--e.g., breakfasts and luncheons--with honor role students, those with perfect attendance, or those most improved.

Site D: The school holds a major award assembly annually, as does the district. The district has awards announcements in its newsletter. At the school, individual awards that occur during the school year are announced on the public address system.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices:

-Districts provide sufficient guidance counselors and require counselors to meet with students twice a year;

-Results of student testing are reviewed by school staff to assess school and departmental progress and to identify improvements for following year;

-Departments offer general "help" days for students;

-School has a career resource center for college and noncollege guidance;

-District holds job fair for high school students;

-Student awards are announced on the public address system;

-Honors assemblies are held, attempting to give individual recognition to as many students as possible;

-Students are encouraged to enter competitions, and winners are recognized widely; and

-School offers remedial instruction and individual counseling for at-risk 9th graders; operates enrichment center for potential dropouts.

C. PRESERVING AUTONOMY AND ENTREPRENEURSHIP

Proposition 1: We would expect administrative and managerial procedures to protect the professional staff's time for teaching and planning, and to protect professional autonomy.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Supported
Overall: **Not Supported**

Site A: Both the district and the school emphasize the preservation of teaching time and autonomy by the teachers. The assistant principals relieve other staff of administrative burdens, and classes are not interrupted by announcements or monitors from the office. In addition, teachers are asked to minimize their telling of "World War II" stories during class time.

Site B: The district has increased class time to 55 minutes, has eliminated pep rallies during the school day, eliminated home room, and limited public address announcements to one per day. The teachers retain a strong degree of classroom autonomy.

Site C: The teachers select their own textbooks and organize their classes to an extremely decentralized degree. However, the school has a problem of dealing with tardiness, absences, and interruptions, and the district implemented a burdensome, tardy referral system to deal with these problems.

Site D: The teachers have considerable classroom autonomy and also have one conference period a day. There are few class interruptions, and the public address system is not used during clas time. The district has strong policies regarding such interruptions.

Proposition 2: We would expect the organization of curriculum and teaching methods to allow for innovation and variation to meet student needs.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The staff has developed a reputation for starting new courses. The course development works better in part because of the district's phase elective system, making all classes nine weeks long (the system is due to be replaced, however, due to a high dropout rate attributed to it). Courses are diverse but also in-depth--e.g., classes for fifth-year languages.

Site B: Each department acts like a small academic college and encourages teacher initiatives. Teachers are therefore accustomed to initiating courses frequently. Moreover, the principal encourages teachers to apply for special grants for further advances in course development or teaching.

Site C: The teachers are completely autonomous in their classrooms, with a resulting diversity even within the same subjects. Although the individual classrooms are therefore quite different, this diversity cannot be construed as the result of any practice to assure innovativeness or responsiveness to students' needs.

Site D: Each department acts like a small academic college and encourages teacher initiatives. Teachers are therefore accustomed to initiating courses frequently. Moreover, the principal encourages teachers to apply for special grants for further advances in course development or teaching.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices:

-School and district minimize class interruptions and use of public address system;

-Class time is increased, eliminating periods such as home room;

-School obtains special resources (e.g., buses) to support teaching activities;

-Department encourages teacher development of new courses or course material;

-School encourages teachers to apply for special grants to develop new courses or teaching methods.

D. SUSTAINING PRODUCTIVITY THROUGH PEOPLE

Proposition 1: We would expect that teachers and other professional staff are recruited, hired, and assigned to meet existing school norms and goals.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Supported
Overall: **Not Supported**

Site A: The principal recruits for new staff outside of the district, and influences the assignments of staff to his school. He involves department heads in the interview process. The preferred new staff are those that can contribute strongly to the academic program.

Site B: The principal interviews and reviews all staff candidates, and the departments are heavily involved in matching staff skills with student/school needs. The principal conveys norms in doing the interviewing.

Site C: The principals have had no role, traditionally, in hiring teachers or assistant principals for their school. The district did not attend specifically to school goals or norms in making such assignments, and is only now beginning to change policies.

Site D: The principal interviews candidates for his school, although the district makes the final assignment. If the process is well-planned, the principal may have good choices and his selection criteria include: knowledge of the subject matter, classroom management abilities, and an ability to develop empathy with the students.

Proposition 2: We would expect staff to be frequently monitored on instruction and given feedback designed to improve their skills and align their work with school goals.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The district has an elaborate system for evaluating teachers, based on multiple classroom observations by school and district staff. Teachers having difficulties have a specific plan of action developed by the evaluator and the teacher. The district and school also make awards for teacher of the year (schools and district) and teacher of the month (school).

Site B: Teachers are visited and observed by the principal and vice principal twice a year (although formal evaluation is only required every three years), and the staff fill out annual evaluation forms for themselves, based on their goals and activities. There is considerable teacher recognition, including awards of gift certificates for perfect attendance.

Site C: Teacher evaluations are formally conducted once every three years. There is no other form of monitoring or feedback.

Site D: Teachers are only observed once every three years, and these are done by the vice principals and deans, not the principal. A new state law increases this frequency to once every two years, but such a frequency did not exist in the past.

Proposition 3: We would expect that staff have frequent formal and informal interactions, regarding professional improvements, curriculum, and teaching methods.

Summary:
Site A: Supported
Site B: Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: Staff interactions revolve around the strong departmental structure. Departments have their own rooms, with individual offices for the teachers, stimulating much interaction. In addition, the district has a strong staff development program to assist the principal and the teachers with their skills.

Site B: Teachers have a daily planning period and also make active use of the teacher center. In addition, monthly department meetings allow for interactions, and departmental offices are available for informal discussions. The school obtained its own buses to promote staff (and student) suggestions for educational trips.

Site C: Teachers are completely autonomous and determine the curriculum, materials, textbook, and teaching objectives of their courses. Teachers do not appear to interact or enter each other's classrooms. The departments largely handle administrative concerns.

Site D: Teachers are generally "left alone to do their job," with no clear pattern of interactions. Such interactions vary widely, depending upon the department; only recently has interaction increased due to a new district-wide policy regarding the use of the same tests among teachers teaching the same course.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices:

-Principal recruits broadly for new staff, and influences assignments made to his school;

-Department heads are heavily involved in interviewing new candidates, and make assignments to match skills and needs;

-District and school support frequent monitoring and evaluation of teachers, to improve their skills;

-District and school undertake awards programs for teacher achievements, including perfect attendance and good teaching;

-Departmental facilities are used to promote staff interactions; and

-Daily planning periods allow teachers more opportunities for preparation and interactions.

E. BEING HANDS-ON, VALUE DRIVEN

Proposition 1: We would expect the principal to exhibit clear and direct knowledge of all aspects of school operations.

Summary:
- Site A: Supported
- Site B: Supported
- Site C: Supported
- Site D: Partially Supported
- Overall: **Partially Supported**

Site A: The principal plays a direct role in recruiting new staff and getting them assigned to his school. This familiarity with the staff, combined with his frequent observations of classrooms and other school areas, gives him a solid operating knowledge of the school.

Site B: The principal makes frequent classroom observations, meets constantly with students and staff, and has initiated specific work groups--e.g., the principal's advisory group--all making him highly familiar with the school's operations.

Site C: The principal attends many student functions, and appears to know a large number of students by name. Although the principal does not make classroom observations, he does appear to have knowledge of school operations through a variety of other activities.

Site D: The principal was previously a coach, and did not do instruction on other subjects. Because he is rarely out of his office and makes no classroom observations, he does not have direct, ongoing familiarity with the school's operations. However, the principal meets regularly with the vice principal and dean, and these persons appear to have good familiarity with the school's operations.

Proposition 2: We would expect the principal (or district) to have developed, communicated, and enforced a clear set of norms regarding high expectations for all students and performance-related goals for the school and staff.

Summary:
- Site A: Supported
- Site B: Supported
- Site C: Not Supported
- Site D: Supported
- Overall: **Not Supported**

Site A: The school and district have emphasized performance on the annual competency test and on basic skills. However, much of the emphasis is on teaching to the top students, and not necessarily all students. The school's formal goals are translated into performance-based objectives for each department. In addition, district-wide slogans are evident in the school.

Site B: The district sets general goal areas, and the schools must identify specific targets for performance (e.g., increasing attendance from 85 to 90 percent). At the end of each year, the principal and departments assess how well each goal was achieved.

Site C: The district develops general goal areas, within which schools are to determine their own improvement goals. At Site C, these goals are not translated into specific actions. There are no targeted areas of improvement or a united consensus on schoolwide priorities.

Site D: The principal places strong emphasis on maintaining a "scoreboard," in which performance is expected to improve each year. Such performance includes attendance as well as academic achievement, and the departments constantly try to identify ways of improving student test performance.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices:

-Principal makes many classroom observations;

-Principal recruits new candidates for teaching positions in the district, gets them assigned to his school;

-Principal participates in a variety of student activities;

-School goals and performance tracked through use of a scoreboard;

-School sets specific targets for general goals identified by the district;

-School goals decentralized to each department, with performance reviewed annually.

F. STICKING TO THE KNITTING

Proposition 1: We would expect the curriculum to emphasize a few, key subjects and to de-emphasize a wide diversity of course choices.

Summary:
- Site A: Not Supported
- Site B: Not Supported
- Site C: Not Supported
- Site D: Supported
- Overall: **Not Supported**

Site A: There are no school-wide objectives beyond the attainment of minimum competency. Students may select from a wide variety of courses, especially because the phase elective system means that courses run for only nine weeks at a time. Moreover, teachers can use different texts for the same course, further increasing the diversity of the course offerings.

Site B: The school has prided itself in offering a wide array of courses, including a large number of electives. Only recently has the district begun to reduce this diversity and to implement competency-based testing; however, these changes are new.

Site C: The school has a core curriculum. However, because teachers have complete independence in the classroom, the specific curriculum and instructional method varies greatly from class to class, reversing the effect of having a core curriculum. As one example, the district found that 35 different math textbooks were being used by its high schools.

Site D: The students must follow a core curriculum, largely set according to district guidance. This core set of courses, including four years of English (which is distinctive to the school), may cover up to eighty percent of a student's courseload.

Proposition 2: We would expect to find that the curriculum is organized and implemented to assure high standards and quality control.

Summary:
- Site A: Supported
- Site B: Not Supported
- Site C: Not Supported
- Site D: Not Supported
- Overall: **Not Supported**

Site A: The district has had tough standards for promotion and graduation, resulting in a highly imbalanced enrollment in the school: 895 in the 9th grade, 372 in the 10th, 175 in the 11th, and 341 in the 12th. In other words, students failing to pass a minimum set of requirements can stay in the 9th grade repeatedly.

Site B: Although the department heads have worked closely with the district's curriculum supervisors over quality control, basic ingredients such as developing a standardized meaning of grades have not yet been put into place. These are only now becoming a district priority.

Site C: The school has no common standards for course objectives, homework, or testing, nor are the results of major achievement tests shared with the teachers. The district has begun some new initiatives, but these may be resisted by the teachers, who view such initiatives as attempts to make them accountable and threats to their classroom autonomy.

Site D: The school has been continually concerned over "social" promotion. The only control in the past has been the principal's monitoring of the percent of F's given by each teacher, but only recently has there been an initiative (by the state) requiring students to pass a minimum competency test.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices (from two schools only):

-District requires core curriculum, covering a large percentage of a student's course-load;

-District has high promotion standards, resulting in half of the student body remaining in the 9th grade.

G. CREATING SIMPLE FORM, LEAN STAFF

Proposition 1: We would expect the organizational structure of the school to be simple and flat, with operating units having large areas of responsibilities.

Summary:
Site A: Supported
Site B: Not Supported
Site C: Not Supported
Site D: Not Supported
Overall: **Not Supported**

Site A: The assistant principals generally do the routine administrative tasks for the principal--e.g., master scheduling, attendance, and discipline. The departments have extensive decision-making control over most matters of curriculum and instruction--e.g., course offerings, teaching methods, classrooms, class sizes, student preparation, and preparation periods. The departments operate with varying degrees of influence by the district supervisors, depending upon the supervisors' skills and style.

Site B: The school has many different types of administrative positions or special services, and unclear relationships among them--e.g., two vice principals, three deans, six guidance counselors, a director of guidance, a director of athletics, a director of community education, and numerous department heads.

Site C: Authority and chain of command are unclear, with teachers having strong autonomy within the classroom, but relationships among them, department heads, and assistant principals not always clear. Furthermore, formal access to the principal occurs through the assistant principals.

Site D: Authority in the school is not decentralized, with mixed channels of authority flowing through the department heads and deans, and unclear access to the principal. In addition, administrators, teachers, and counselors tend to operate as three separate groups.

Overall Support for This Theme: **NOT SUPPORTED**

Illustrative Positive Practices (from one school only):

-Departments are given large areas of authority and responsibility, reporting on these activities to the principal directly; assistant principals carry out staff activities.

RELATED PUBLICATIONS
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The following publications may be of further interest to the reader, and are available from COSMOS Corporation.

Alamprese, Judith A., and Robert K. Yin, Dissemination of Exemplary Practices in Science and Mathematics Education: First Year Report, COSMOS Corporation, forthcoming.

Alamprese, Judith A., and Nancy Brigham, Managing Together: Handbook of District and High School Practices Toward Excellence, COSMOS Corporation, September 1986.

Alamprese, Judith A., and Debra J. Rog, The Development of a Certificate Program for Accounting Administrators: Final Report, COSMOS Corporation, September 1986.

White, J. Lynne, ed., Catalogue of Practices in Science and Mathematics Education, COSMOS Corporation, June 1986, 191 pp. + Indexes. ($8.50)

Yin, Robert K., and J. Lynne White, "Federal Technical Assistance Efforts: Lessons and Improvements in Education for 1984 and Beyond," COSMOS Corporation, December 1983, 50 pp. + Appendix. ($3.00)